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Cognitive Stylistics Approach to Cinematic Characterization

Saeedeh Taheri

DPhil

**University of Sussex
August 2018**

I hereby declare that this thesis has not been and will not be submitted in whole or in part to another university for the award of any degree.

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University of Sussex
 Saeedeh Taheri, DPhil in Linguistics
 Cognitive Stylistic Approach to Cinematic Characterization

Abstract

This thesis deals with the cognitive process of cinematic character construal and explores the question of how narrative film viewers presumably understand characters and make impressions about them as a result of the interplay of different types of schema.

Based on the cognitive concept of schema (Barlett [1932] 1995), Speech Act Theory (Austin, 1962; Searle, 1969) and cognitivist film theory (Bordwell, 1985), a cognitive framework, which is inscribed within the cognitive stylistics theories and analytical frameworks, is proposed for character impression formation. The model posits that viewers understand characters in terms of the interactions between three planes of background knowledge: 1. Social knowledge (knowledge of real-life people, social roles, and interpersonal relations), 2. Narrative film knowledge (knowledge of film narrative, style and techniques), 3. Pragmalinguistic knowledge (knowledge of linguistic and pragmatic norms. The focus of the linguistic plane is on Speech Act Theory).

This research argues that film draws on medium-specific, multimodal devices to tell the story and create characters. With regard to the multimodality of film discourse, this thesis suggests a toolkit for character creation and comprehension.

The three planes of social, film and pragmalinguistic schemas and also the marked aspects of the suggested cinematic character creation toolkit are all applied to three art *auteur* films: *The Piano Teacher* (2001), *Autumn Sonata* (1987), and *Ten* (2001), whose comprehension is challenging for viewers Pragmalinguistic because of their deviations from the conventional norms of Hollywood cinema in terms of narrative, characterization, cinematic style and techniques. Methodologically, this analysis is informed by multimodal analysis (Kress and van Leeuwen, 1996), and multimodal transcription (Baldry and Thibault, 2006) in particular, which consider text as an ensemble of different communication modes all of which contribute to meaning-making. Thus, this analysis presents a detailed account of viewers' plausible understanding trajectory, and an explanation of linguistic and visual/cinematic strategies to narrative (as the context in which characters are created and developed), and particularly character creation within the scope of the films mentioned above.

Keywords: Schema Theory, Speech Act Theory, Art Film, Multimodality.

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List of Abbreviations

SA	Speech Act
SAs	Speech Acts
ST	Speech Act Theory
SAS	Speech Act Schema

1. Character in film: The preliminaries

1.1 Introduction

This research explores the cognitive process through which viewers possibly understand film and the impression about characters they form through the interplay between their prior knowledge and the film text. This research belongs to the broad field of cognitive stylistics (Culpeper, 2001; Culpeper and Semino, 2002; Emmott 1997; Semino, 1997; Hamilton, 2002; Stockwell, 2002; Burk, 2007; Walsh, 2007; Gavins, 2007; Latting, 2007; Palmer, 2007) which deals with hypothesising about what happens during the reading process and how this influences the interpretation that readers generate about the texts they engage with (McIntyre, 2010). Cognitive approaches in stylistics have mostly explored different aspects of character and characterization in literature and literary texts (Semino, 2002), play texts (Culpeper, 2001) and rarely, film – although Short (2007) is an exception). However, there is no systematic research from a cognitive stylistic perspective on film character and characterization with regard to film as it communicates through a multiplicity of semiotic modes and this characteristic of multimodality distinguishes it from other fictional media such as play text and fictional narrative (see 1.5.1 for further discussion). The medium-specific aspects of film in terms of its multimodal structure and its communicative context are taken into account in studies on film stylistics (see section 1.5.2 for discussion on the communicative context of film).

However, while few stylistics studies have explored character and characterization in *telecinematic* discourse (Piazza, 2011) as they mostly deal with televisual characters or characters in TV series (Bednarek, 2010, 2011; Bubel, 2011; Mandala, 2011, Toolan, 2011), Bednarek (2010) has sought to readdress this by carrying out a comprehensive, systematic corpus-based, multimodal analysis of characterization in television discourse. In comparison to film, the flexible narrative structure of TV series and the dynamic nature of the television (Creeber, 2004, in Bednarek, 2010:12) allow for a fuller exploration of character. This is because viewers have 22 or 23, sometimes 24 one-hour episodes every year to explore character (Bednarek, 2010:12-13), while film running times – which usually vary from 90 to 110

minutes – do not allow a comparable quality of character exploration and development. Therefore, in order to fill this research gap in cognitive stylistics – with particular reference to film stylistics – this research explores the cognitive process of characterization, character creation and development in narrative film and deals with how viewers *plausibly* engage in character impression formation considering the multimodal context of film.

This research is multi-theoretical in that it incorporates insights from linguistics, particularly pragmatics (i.e. Speech Act Theory, henceforth SAT), stylistics (narrative theory), multimodal research, cognitive psychology (schema theory and categorisation), social cognition (social schemas and stereotypes, social categorisation), and film studies (cognitive film theory, film style, genre and techniques). The present research draws on insights from social cognition and cognitivist film theory – a body of film theory which focuses on the notion of cognition and the psychological processes involved in acquisition and organization and making use of prior knowledge – while being firmly rooted within linguistics/stylistics in order to establish this study's multi-theoretical approach. The research on cinematic discourse within cognitive stylistics has seldom taken into account an extensive range of disciplines (such as cognitive theories and film theories) to give an insightful analysis of viewers' cognitive processes related to characterization. Indeed, previous research has mostly drawn on pragmatic and stylistic theories which ignore film style and technique and its multimodal context (Short, 2007; Bousfield and McIntyre, 2011; Kozinski, 2011).

The present research adopts textual analysis as its analytical method; specifically narrative analysis (with a focus on characters), multimodal transcription/analysis (with a focus on audiovisual, technical, stylistic and generic aspects of film), discourse analysis (with a focus on language and the pragmatic aspects of communication), and conversation analysis (with a focus on spoken scripted dialogue). Therefore, the current study presents a multimodal discourse analysis of film using a close reading and detailed analysis of individual film texts as explained in the methodology in Chapter 4.

The following sections of this chapter deal with the present study's preliminaries and introductory assumptions. The present research's scope and how it establishes itself within cognitive stylistics is discussed in 1.2, while section 1.3 outlines its research aims, and presents and discusses the research questions in detail. Section 1.4 defines the key terms and concepts used in the research, while section 1.5 discusses the study's

context in order to illustrate the theoretical foundations on which the discussions and analyses are presented. Section 1.5.1 deals with film as a multimodal medium and how it employs different semiotic resources to communicate and investigates the general characteristics of film discourse with respect to the various modalities it combines. Section 1.5.2 discusses film's communicative context as a mediated or 'screen-to-face discourse' (Bubel, 2006), in which viewers with various participatory roles are actively engaged in the process of meaning-making. Section 1.5.3 compares film discourse with everyday discourse and discusses how film's non-authentic conversations can be analysed in terms of linguistic theories originally devised for natural, everyday exchanges.

1.2 The scope of study

As mentioned earlier, this study belongs to the broad field of cognitive stylistics, and, as it is concerned with hypothesising about the cognitive process of text comprehension in film, it is necessary to clarify the scope of cognitive approaches to text in cognitive stylistics.

According to Miall (2006:43), the cognitivist perspective has been restricted almost entirely to information processing issues and has neglected the role of feelings, which are central to the experience of literary reading, listening (for example radio plays) as well as viewing. In his study on the role of affect in reader's comprehension of literary texts, Miall claims that an account of the processes by which literary texts are understood – complex narratives specifically – is beyond the reach of purely cognitive models, and the comprehension of literary texts is controlled by the reader's/viewer's affect. Thus, in avoiding the role of affect, cognitive stylistics claims to deal with the cognitive process of reading/viewing and examines what happens in literary reading/viewing. Research in this field is usually focused on a hypothesis drawn from cognitive science – the assumption that reading is shaped by figure/ground contrasts (van Peer, 1986) and/or by the instantiation of schemas (i.e. Semino, 1997). In fact, cognitive stylistics has often centred on the general cognitive process through which the model reader/viewer is engaged in text comprehension rather than the process of real readers'/viewers' experience of the text of which feeling is an inseparable part.

Although Miall's (2006) claim concerning the limitations of cognitive stylistics seems plausible to some extent, this research believes that studying the cognitive process of reading/viewing encompasses two distinctive planes. Firstly, the theoretical concepts that concern a universal and general macro level are examined; these are concepts that, regardless of sociocultural (culture-specific aspects, social differences, e.g. social class, age, gender, ethnicity) and affective variables (feelings, emotions and desires), impact the cognitive mechanism of readers'/viewers' comprehension. Secondly, on a more localised and micro level, individual-specific issues which may vary from person-to-person are examined. Highlighting the essential and indispensable role of individual affect and sociocultural differences on text comprehension, this research specifically focuses on universal cognitive processes of 'model' or 'abstract' viewer involved in comprehending character through schematic knowledge. This research presupposes an optimal and abstract context (not a real-one) in which the viewer is envisaged as an ideal viewer, whose comprehension is not influenced by personal, attitudinal, social and cultural factors. Such model viewer is different from an actual, instantiated real viewer whose response to film and character can be influenced by various personal, socio-cultural, linguistic and even political factors.

1.3 Aims and research questions

The present research has two main aims which are expressed as the following interrelated research questions (RQs):

1. The role of background knowledge (categorised as different schemas) in character impression formation. In other words, the current research attempts to examine the function of different schemas, particularly social, film (narrative and film style schemas), and pragmalinguistic (according to SAS) in character impression formation.
2. Exploring the multimodal aspects of film (including medium-specific features, style and techniques) and how film's multimodal elements contribute to characterization and character impression formation.

Thus, according to this study's research aims, the primary and general RQs can be reformulated as 'what elements in film – as a multimodal medium – plausibly

activate different schemas in viewers' mind to form character impression?' To answer this broad and comprehensive primary question, it must be broken down into viable, narrowed-down, interrelated questions. As mentioned earlier, the RQs were formulated in terms of the study's general aims, although there is no correspondence in terms of the order of the aforementioned aims and the following RQs.

1. How are characters created and developed in film? And how do film's multimodal elements contribute to character impression formation?

This research argues that characters in film, as a multimodal, audiovisual medium with medium-specific deployment of styles and techniques, are created and developed in different ways from other narrative genres, such as literary fiction and plays (see 2.3 for a discussion of characterization in literary fiction and film). Film uses a specific toolkit with different audio-visual devices to narrate the story and present characters. Thus, against such narrative media as fiction and play text, which are mostly based on language, film draws on an ensemble of different semiotic resources, of which language is one (see 1.5.1 for discussion of multimodality in film).

2. What film elements activate the viewers' film-related stored knowledge (film schema)?

Different elements of film have the potential function of activating the viewers' relevant schemas. This research suggests that film elements, particularly and primarily film narrative and cinematic style and techniques, give rise to viewers' film schemas which impact their impression of characters. Understanding how film narrates and creates characters by means of cinematic devices requires a specific type of knowledge. By means of such implicit, unconscious film knowledge, (which is formulated as film schema in this research), viewers are able to understand the mechanism of film narration and characterization.

3. What triggers possibly facilitate the understanding of the film narrative and activate viewers' film schema, assuming that narrative is the context in which characters – as products of narrative with semi-human aspects – are created and developed?

This question argues that characters in film reflect and/or refer to real people in the fabricated yet still possible world of fiction. As fictional entities, characters are imitations or representations of real people who are created and developed in the course

of the narrative and thus their existence depends on the fictional narrative world from which they emerge (see 2.2.3 Mixed approach to character). Accordingly, a comprehensive study of characterization requires an analysis of the context from which they emerge and in which they develop. Moreover, when viewers sit to watch a film, they usually presume a narrative, a story in which they can follow characters.¹

4. How are characters created and developed by their pragmalinguistic behaviour, particularly SAs? In other words, how do characters' SAs inform viewers to make specific impressions?

This question can be discussed in terms of the SAs which are performed in relation to characters, such as narrators' SAs and/or camera's SAs, and the SAs performed by the characters themselves. Specifically, the above question can be narrowed down to a further specific sub-question to discuss this issue in greater depth:

- How do the SAs performed at different levels of narrative discourse – such as the filmmakers' SAs, narrator's SAs, camera's SAs etc. – contribute to characterization?

This question argues that different types of SA are embedded in different levels of narrative communication, such as the levels of filmmaker, narrator, and character-to-character (see 3.5 for a detailed discussion of SA performed on different levels of narrative discourse). A comprehensive SA analysis of narrative film should be able to specify the functions of SA at various levels of film discourse. This is mainly because the SAs performed on such different levels can contribute to character creation and development and also reinforce or undermine their attributes. For example, by drawing on specific SAs, the film narrator (character-narrator) is able to convey a specific impression of a character(s) they wish to construct, which motivates viewers to construe the character in a specific way.

5. How do SASs contribute to the understanding of different variations of SA, including similar SAs (for example *command*, *order*, *direct* and etc.), indirect/implicit

¹ The scope of this research is bound to narrative films, that is, films which feature the essential components of narrative, complicating action, which qualifies them as narrative.

SAs, and SAs which are performed through other semiotic resources (paralinguistically and/or by means of cinematic devices)?

In the present research, SAs are conceptualised as schemas. As discussed in 3.3, this is mainly because of the inherent problems of SAT, such as naming problems, difficulty in distinguishing among related SAs, discordance between an utterance's locution (grammatical form) and its illocutionary force (meaning), deficiency of Searlean conditions to justify all instances of one SA (non-prototypical ones) in different contexts (the case of *apology*), and lack of *context* treatment. This study argues that in film, SAs can be performed both paralinguistically *and* visually, through medium-specific, audiovisual devices. In other words, SAs can deviate from their prototypical forms (linguistic forms) in their performance. Taking a schematic approach legitimises many variations of one SA and allows us to treat SAs with the specifications of schema, in terms of flexibility, relateness and being principle-governed (see 3.3.3). Moreover, the schematic approach to SA is consistent with the argument of this research which holds that viewers understand film narrative and characters through an interplay between their social, film and linguistic schemas, and the film's textual cues. This approach is also consistent with the specifications of film, which as a multimodal medium utilises different semiotic, including linguistic and non-linguistic resources, to convey, express and communicate meaning.

6. What cognitive process informs the overall impression of characters in the model viewer's mind?

This question investigates the plausible cognitive process of gestalt and general impression about characters and how this can possibly be formed in the viewer's mind based on the episodic linguistic (SAs), narrative, film stylistic and technical information obtained in the course of watching a film and comprehended by means of related schemas.

The present study answers these questions by analysing three selected films, *The Piano Teacher* (2001), *Autumn Sonata* (1978), and *Ten* (2002). They are systematically and comprehensively addressed in different parts of the analyses by applying the suggested frameworks (see 2.1 for the suggested frameworks). The next section deals with the central and primary terms and concepts used in this study to illustrate how – and in which sense – they are used in this research.

1.4 Definition of key terms and concepts

This research focuses on characterization as a cognitive process and it is not concerned with characters *per se* as the product of this process. While the terms and concepts used in this research are borrowed from Literary Criticism, Narratology, Cognitive Studies and Film Studies, terms such as *character* and *characterization* are used in divergent senses among such disciplines. Thus, to confirm that the terms and concepts are used in the senses intended by the researcher and to avoid terminological misunderstandings, their intended meanings in the present study are set out below.

Character and characterization: *Character* in stylistics and literary criticism is a rather ambivalent and ambiguous concept which is commonly used in two different senses: (1) attributes, qualities and characteristics which combine to form a person's personality in narrative fiction and film, (2) fictional people in plays, novels or films. In this research, *characteristic(s)* is used in the former sense and applied interchangeably with attributes, aspects and qualities of characters. The term *character*, which is only used in the latter sense, refers to fictional people who inhabit the textual world.

Second, *characterization* is used in two senses: (1) the process by which viewers form impressions about characters, and is usually collocated with *cognitive*, or *viewer*, as in *cognitive characterization* or *viewers' characterization*, (2) the way fictional people (characters) are created, constructed and developed in the fictional world of film. The present study adopts Culpeper's (2001) terms *impression* or *character impression* to refer to how viewers infer and perceive characters and their attributes, and form/develop impressions about them. Culpeper's terms are originally borrowed from the cognitive discourse on impression formation in real-life people in Social Psychology (see Culpeper, 2001). In addition, *character construal* is also used synonymously and interchangeably with *character comprehension* in this research.

Schema: The present study adopts *schema* as its principle overarching concept (Barlett, 1932); the cognitive structured cluster of concepts involving our generic knowledge about all concepts, including objects, situations, events, and actions. And, by employing schemas, reader/viewers are able to draw inferences, develop expectations,

and confirm or disconfirm hypotheses about storylines and character personalities. Research on the cognitive processes of narrative comprehension has focused particularly on reader's/viewer's schemas derived from their transactions with the everyday real world (e.g. van Dijk and Kintsch, 1983; Bordwell, 1985; van Dijk, 1990; Branigan, 1992; Graesser, Singer and Trabasso, 1994; Semino, 1995; Emmott, 1997; Culpeper, 2001). Emphasising the significant role of schemas in text comprehension, the present research investigates how this body of prior knowledge – stored in the form of different mental schemas, including social, linguistic and film schemas – contributes to viewers' film comprehension, and specifically, characters involved in an interaction accompanied by particular textual cues. Accordingly, this study adopts the concept of *schema* as an overarching concept which includes multifaceted bundles of knowledge. It is assumed that 'everything from recognizing objects and understanding dialogue to comprehending the film's overall story utilizes previous knowledge' (Bordwell, 1985:32-33).

Speech act: Speech Act Theory (hereafter SAT) maintains that words are not empty; they represent actions in themselves, saying is doing, and thus, utterances can be considered to be acts which are capable of producing outcomes and impressions or affecting people and events (Austin, 1962). SAT retains some usefulness in the stylistic analysis of character dialogue in literary, dramatic, as well as film text. For example, SA analysis makes it possible to see how the characters are created and developed through *what* they say and *how* they say it. The type of SAs which characters tend to draw on can be related to different aspects of their personalities and interpersonal relations. For instance, characters' SAs may reveal the amount of power they exercise in relation to others or disclose their intentions and dispositions (see 3.2 for a detailed explanation of SAT and its specifications).

Art film: Art film, as Cook (1999:106-111) asserts, can be conceptualised as an institution in which certain films are assigned a position within the general film culture and defined in terms of particular modes of theme, narrative structure, characters, stylistic conventions, audience and consumption. Art films are typically categorised by specific qualities which distinguish them from conventional mainstream Hollywood cinema. Art films tend to deviate from mainstream conventions in terms of narrative, characterization, style and techniques, including aspects of *mise-en-scène*,

cinematography and genre. The complexity of art film in terms of narrative, characterization and cinematic techniques can explain why art cinema addresses the audience as a knowledgeable cinemagoer who recognises the filmmaker's characteristic stylistic touches as *auteur* (Cook, 1999:237). In sum, the current study argues that the altered and unusual use of film style, genre and narrative in art films disrupts conventional film schemas and causes schema disruptions, and their deviations from mainstream conventions make them deserving of cognitive stylistic analysis.

1.5 Context of the study

As was discussed in the second aim and the first question of the research (see 1.3), film as a multimodal medium is conceptualised as an ensemble of multiple communicative and semiotic modes, all of which contribute to characterization. Specifically, films' audiovisual properties, stylistic choices and techniques (e.g. camera effects, *mise-en-scène*, score) all 'offer a viable tool for a richer understanding of the cinema's semiotics' (Piazza, 2010:173). The analysis of verbal and non-verbal, multimodal planes is significant for an insightful account of the cognitive process of character impression formation, as each of which focuses on different aspects of the cinematic text. With this in mind, the current study argues that in film, both verbal/linguistic and multimodal elements – including film-technique elements – have the capacity to create/express/communicate different aspects of character and that these two planes cooperatively contribute to the viewer's comprehension of film text and characters. These medium-specific characteristics are taken into account in the suggested toolkit for cinematic characterization (2.3.1) and also the suggested cognitive model for character impression formation (2.1). Correspondingly, in order to explain and illustrate the context within which the present study is set, the next section discusses the medium-specific characteristics of film and its multimodal mechanisms, and the communicative context as a mediated discourse in which viewers are actively engaged in the process of meaning-making. Finally, it discusses viewer's various participatory roles, and how film discourse can be analysed by means of the linguistic and pragmatic theories which are used for real-life and non-fictional discourses.

1.5.1 Film: an ensemble of modalities

Multimodality (Kress and van Leeuwen, 1996) asserts that communication and representation are achieved by more than simply the use of language; the full range of communicational forms people use include image, gesture, gaze, posture, and the relationships between them. Multimodality assumes that language is part of a multimodal ensemble and presentation and that communication always draws on a multiplicity of modes, all of which have the potential to contribute to meaning-making (Kress and van Leeuwen, 1996; Norris, 2004). Each mode in a multimodal ensemble is able to fulfil different communicative ends and take on specific roles within a particular context and moment in time.

Research on multimodality provides tools and frameworks for analysing and describing the full repertoire of meaning-making resources which are used to communicate. Multimodal research has also identified inventories of semiotic resources; materials or modes used to articulate discourses across a variety of contexts. Such semiotic resources are discourse-specific, in the sense that the modes exploited in film discourse are not necessarily similar to those used, for example, in architectural discourse in museums or exhibitions (Ravelli, 2008; Diamantopoulou, 2008).

In film, dialogues and characters' pragmalinguistic behaviour are highly revealing in terms of characterization and plot revelation. For instance, events within a film's narrative can be divulged via character dialogue and pragmalinguistic aspects of characters' interactions are able to reveal the nature of their interpersonal relationships and their personal characteristics (Kozloff, 2000). In addition to dialogue, other resources offer meaning-making tools; aspects of *mise-en-scène*, cinematography and musical score also represent and communicate specific aspects of the whole meaning ensemble. For instance, setting and lighting can create a scene's spatial mood and the score can create or reinforce the affective atmosphere of a given scene (see 2.3.1 in which the effects of film style and techniques in meaning making and particularly in character creation are discussed). Toolan (2001) describes film's modalities as follows:

[...] in film there is a blend of several modalities: visual representation (depiction of setting, of characters, of actions...); non-verbal and aural representation (music, sound effects, indices of setting); non-verbal human noises (of figures typing on the keyboard, of someone brushing their teeth, etc.); speech, and even writing (as a distinct sub-type of non-iconic visual representation) (p. 104).

Although each of these modes can individually create *part* of the whole meaning which a given scene endeavours to communicate, the *entire* meaning is orchestrated through the selection and configuration of modes. In fact, the meanings in any mode are interwoven with the meanings constructed by those of all the other co-present and co-operated modes in a given communicative event (Jewitt, 2009). Multimodal studies of film have explored how verbal and visual resources – as well as other modes/modalities – are combined to create meaning in film (O’Halloran, 2004; Baldry and Thibault, 2006).

Thus, from a multimodal perspective, language represents only a single mode among the multimodal ensemble found in films. Stylistic studies have already investigated paralinguistic cues (Culpeper, 2001; Short, 2007), however, multimodality goes beyond paralinguistic cues. Against the stylistics studies in which non-verbal and paralinguistic cues are considered as a secondary source of meaning-making, multimodality does not take language as the starting point which provides a prototypical model of all modes of communication. Furthermore, the multimodal approach to telecinematic discourse broadens the scope of non-verbal meaning making cues – from those elements which are directly connected/related to characters or what Bednarek (2011) calls ‘multimodality in character’, such as characters’ facial expressions, body language – to those which she calls ‘multimodality in product’ which include medium-specific aspects such as *mise-en-scène* and camera effects.

In particular, the way in which identities are created through multimodal resources has attracted attention in multimodal studies which mostly focus on identity construction in social situations and real-life interactions rather than fictional discourse. However, limited research exists on character identity in fictional discourses, such as plays and films. Bednarek (2010) examines the expressive identity of characters in TV series and the linguistic aspects of characters’ dialogue along with the multimodal aspects fictional TV series use to create drama and communicate the identity of characters. Before Bednarek’s (2010) study, Culpeper (2001) had examined the cognitive process of character construal in plays, suggesting a check-list of textual cues, including visual and vocal aspects of characters which may directly or indirectly contribute to the audience’s impression formation. In this, he analyses extracts of texts from various genres, including advertisements and Shakespeare’s plays. Although the

textual cues he discusses appear to be the same models of meaning-making, he does not define such textual cues as multimodal aspects.

Furthermore, in his study of how characters' SAs construct the identity of film characters, Short (2007) takes into account cinematic aspects and how film-specific techniques and style contribute to communicate (or reinforce) the illocutionary force (intention) of characters' utterances and their potential effects on character construction. However, like Culpeper (2001) he fails to discuss the cinematic aspects in terms of multimodality. Therefore, having emphasised film's multimodal context, this research incorporates specific multimodal resources in creating a contemporary methodological toolkit to facilitate systematic film analysis (see 4.3.1 for methodology/multimodal transcription).

1.5.2 The communicative context of film

The relationship between film viewers and what they are watching is a particular type of mediated discourse; *screen-to-face discourse* (Bubel, 2006:46). Mediated discourse involves different 'embedded levels' (Short 1981), in which characters, filmmaker(s), and viewers communicate as participants. In this study, Bubel's (2006) model is used, which draws both on cognitive theory (Clark, 1996) and Goffman's (1976, 1979) sociolinguistic theory. Although Bubel's model was originally designed for television audiences, it can be applied to film viewers. Her (2006:46). model takes into account the layered nature of screen-to-face discourse, the multiple image-makers, or what Bednarek (2010) calls 'multiple authors' (including screenwriters, actors, camera works, editors, composers, etc.), viewers and their world knowledge and the cognitive process involved in film comprehension. In her model, viewers are both 'ratified participant' (they are intended to be part of the film discourse) and 'target audience' (overhearers). The concept of 'target audience' in Bubel's (2006:46). model is analogous to the notion of 'implied reader'/viewer, that is the hypothetical figure of reader/viewer to whom the literary work, including fiction or film, is designed to address (Iser, 1978; Booth, 1983; Chatman, 1990). Based on the concept of implied viewer, the filmmaker assumes that there is a viewer with a 'shared knowledge' (Emmott, 1997). The notion of target audience suggests that inferences are drawn on the basis of the world knowledge shared among filmmaker, characters and viewers. Based on various aspects of this world knowledge – including knowledge of film – 'the

filmmaker and actors aim for overlap between the character's common ground and the audience knowledge in a mediated grounding process' (Bubel, 2007:57).

Further, the role of the viewer in such mediated discourse can be discussed in relation to the 'active viewer' (Bordwell, 1985), a concept borrowed from the film cognitivist approach which avoids the passive notion of viewing. In cognitivist film theory, the viewer is defined as 'a hypothetical active entity who executes the operations relevant to constructing a story out of the film's representation' (1985:30). Against the notion of ideal reader/viewer, who is defined as an entity equipped to all aspects of presented meaning, (Iser, 1989; Fish, 1980), the viewer in cognitivist film theory is not only 'real' in terms of possessing certain psychological limitations which real viewers also possess, but also 'active' in the sense that their comprehension is cued by film text, and so, they should be attentive to the textual cues to follow and construct the story and make impressions about characters (Bordwell, 1985:30). The concept of 'active viewer' in cognitive approach to film is derived from the literary theory of 'reader-response criticism' (Iser, 1978; Fish, 1980) which highlights the readers' contribution and their engagement in the meaning-making process in literary works, rather than on the works themselves. Accordingly, readers need to decide on the meaning of the text and its indeterminate elements, i.e. the elements of the text which requires the reader/viewer to decide on, and hereby they actualize the text (Iser, 1978). The readers/viewers are given a more active role as they are assumed to be the real producers of meaning in text (Fish, 1980).

Similarly, from a cognitive stylistics perspective, readers/viewers are actively involved in the process of meaning-making (McIntyre, 2010:127). In a discussion on how readers make sense of fictional worlds, Semino (1997:125) distinguishes between what she calls 'projection' and 'construction' and argues that a text projects meaning while readers construct it. That is, text involves triggers which activate aspects of readers' world knowledge and this allows them to build up meaning and make sense of what they are reading. Such meaning-construction processes demand that readers actively get involved. The concepts of projection and construction can also be applied to film text in relation to character impression formation – the film text involves/projects visual or verbal triggers which may cue viewers to make/construct a particular impression about characters (audiovisual devices for character creation in film are presented and discussed in the suggested toolkit for characterization in 2.3.1).

Concerning the manifold multimodal structure of film (1.5.1) and closely related to the notion of active viewer, the degree to which viewers actually participate should also be taken into account. This is taken up by Piazza (2011:28-34) who argues that the cooperation of verbal and visual dimensions of film dictates the viewer's various participation roles. She notes:

Levinson distinguishes between 'participant' and 'non-participant' within which he identifies various roles (for instance, interlocutor or audience for participant roles, and overhearer or targeted overhearer for non-participant) depending on which of the variables of address, recipient, participant and channel-like (ability to receive message) the focus is on (2011:31).

Piazza proposes a model of 'audience's non-participatory roles' in which various degrees of overhearers' agency and responsibility are determined in terms of the interface between image and words. The first non-participant role of overhearers is the most passive in terms of the comprehension process activated by the verbal-visual interaction. Here, the viewers are constructed as ignored overhearers. The 'targeted overhearer' category assigns the role of recipient to viewers and invites them to participate and carry out specific cognitive tasks. Piazza labels the last, and the most engaging category 'undisclosed intermediary', in which the message is addressed to viewers rather than to a particular character in film; in this case, although the viewers are still onlookers, they are called to respond cognitively to what happens on screen.

Thus, the degree of 'activeness' varies depending on the participatory role of viewers: 'When viewers are construed as 'overhearers' the verbal-visual planes interact in ways that seem to ignore or be indifferent to their presence; in the case of 'targeted overhearer' instead the viewers are invited to participate and expected to carry out some specific cognitive task' (Piazza, 2010:33). Thus, the different ways in which verbal and visual planes complement each other rely on the nature of the viewers' participation roles and their variable degree of agency in the comprehension process.

Having discussed the distinctive communicative context of film, the next section compares film discourse and everyday discourse to see how linguistic theories – which were originally devised to study natural language exchanges – can be applied to film discourse.

1.5.3 Film discourse vs. everyday discourse

Film discourse can be conceptualised as involving non-authentic/scripted conversations. It has often been emphasised that the tendency in cinema is to observe the ‘code of realism’ (Bednarek, 2010; Berliner, 1999; Kozloff, 2000), in the sense that in most genres, cinema faithfully reproduces the social, cultural and linguistic context of the real world. However, many scholars have argued that the illusion of perfect realism is in fact significantly violated on the discourse level (Berliner, 1999; Rossi, 2007, 2011; Quaglio, 2009; Alvarez-Preyre, 2011), as film dialogue has been ‘scripted, written and rewritten, censored, polished, rehearsed and performed’ (Kozloff, 2000:18).

Rossi (2011) relates the non-realistic nature of scripted discourse to ‘pragmatic issues’ and ‘media constraints’ and notes that ‘art and commercial cinema have confirmed such an anti-realistic tendency despite some exceptions, as in film shot as documents of reality’, feature a high degree of acting improvisation’ (p. 22). The arguments drawn from studies on telecinematic discourse show how the filters of representation and artistic creation can pose essential challenges to linguistic studies. Alvarez-Preyre (2011:48) calls film dialogues ‘artefacts’ and ‘specimens’ of language interaction due to the fact that ‘[they] are most typically written, learned, rehearsed, playacted in an unnatural environment, cut and pasted during the editing and post-synchronized, i.e. re-recorded in a sound studio’. The scripted nature of film language, as Dynel (2011:43) observes, contributes to producing a number of ‘dichotomies’ between fictional and ordinary discourse, such as ‘spontaneity vs. meticulous preparation, permanence vs. ephemeral nature, or the speaker’s intentional communication vs. the speaker’s reproduction of words’.

Although scripted fictional dialogue is not based on systematic sociolinguistic observation of real-life spoken exchanges, many other scholars (e.g. Tannen and Lakoff, 1994; Culpeper, 2001; Dynel, 2011; Bubel and Spitz, 2006; Richardson, 2010) argue that film dialogue maintains itself in the verisimilitude of real-life conversation. According to Herman (1995), this plausibility is mainly because of ordinary speech – or the rules underlying the orderly and meaningful exchange of speech in everyday context – are the resources that dramatists use to construct dramatic dialogue (p. 6). Thus, characters’ linguistic resources, like the ordinary language used in real-life situations, have communicative interpersonal and self-presentation functions. Richardson (2010) emphasises the self-presentation value of characters’ conversation and notes:

Represented talk, like its real-world analogue, are more or less coded and calculated for interpersonal effect. Social encounters are not just events in realization of story structures but also moments in the characters' relations with one another (p. 106).

An interaction, whether constructed or intuitively employed by ordinary language users, always operates by the same linguistic resources in accordance with communicative rules. Accordingly, film discourse presents many aspects typical of real interactions, while its 'naturalness' (Dynel, 2011) – a feature that has always been appreciated by playwrights and critics – shows it can be discussed, analysed and interpreted with the linguistic and pragmatic theories proposed for real-life communication (Short, 1981, 1989; Culpeper, 2001; Richardson, 2010; Dynel, 2011). Emphasising the revealing nature of characters' speech, the present study considers real-life dialogue as the basis on which fictional discourse of film can be analysed. Therefore, within such a framework, characters' identity construction is achieved using linguistic and pragmatic theories originally designed for investigating real people's identity.

Having discussed the particularities of film discourse as the context of the present study, the next section sets out its structure and the organisation of critical discussions and analyses provided in the following chapters.

1.6 Structure of the research

Having discussed the preliminaries and the general context of the current study, this section outlines the structure of research. Chapter 2 provides a critical review of the cognitive theories concerned with the comprehension process of text in general – and cinematic text in particular. By suggesting a cognitive model, it is argued that viewers' general knowledge of character impression formation consists of three planes, namely social schema (knowledge of real-life people, the social roles, relations and functions), film schema (the knowledge of film's narrative, style and genre, and techniques) and pragmalinguistic schema (the knowledge of linguistic and pragmatic norms, and how language, as a means of social interaction, is used in different contexts). The first two planes of knowledge (social and film knowledge) and their specifications are discussed

in detail in Chapter 2. In addition, this chapter deals with the theoretical assumptions of characterization and the different approaches to character from the viewpoint of literary criticism. It also argues that literary approaches to character can be a good starting point to study character in film. A toolkit/checklist for character creation in film as also suggested in this chapter, which is implemented in the analysis – particularly in the multimodal evaluation.

Chapter 3 concerns the third plane (the pragmalinguistic knowledge) of the theoretical framework, as another part of viewers' schematic knowledge. Among the different linguistic theories available for analysis of character dialogues, this research particularly focuses on SAT as a pragmatic theory which has implications in the stylistic analysis of characterization. The present research assumes that characters' SAs cue viewers to make particular impressions about their identity, dispositions, intentions, social categories and roles and interpersonal relations. However, due to the problems affecting classic SAT (Austin, 1962; Searle, 1969) including the naming problem, discordance between the grammatical form and the intended meaning, and also based on the fact that SAs are conventional and principle-driven, they are envisaged and conceptualised as cognitive schemas in this research. This schematic approach allows us to consider different variations of the same SA. In addition, it is argued that the schematic approach to SAT is consistent with the theoretical framework and schematic-based character impression adopted in this research. This chapter continues with a discussion of SAs performed at different levels of film discourse and argues that different SAs operating on different levels of film discourse can functionally contribute to characterization. With respect to film's multimodal elements, and considering the mediated context of film discourse, the levels of SA in film can include the creative act of the author, the narrator's act of telling, the reader's act of interpretation, the inferred SA of the text as a whole, the narrators' (VO/VI) and camera as narrating agencies) act of telling, and the characters' SAs.

Chapter 4 discusses the study's methodology and design. It begins by discussing two common methodological concerns of cognitive studies, as well as cognitive stylistics – first, the probabilistic nature of cognitive studies as they mostly hypothesise about a model viewer, and second, the indeterminacy of stimulus from which viewers possibly draw their inferences. It is argued that the abstractness and subjectivity of these studies – which results from the total reliance on analyst's self-interpretation – can be diminished by drawing on 'the preferred readings' (Piazza, 2010; Desilla, 2012), which

refers to how film communicator(s), including filmmaker(s), film experts including film critics and academic analysts intend the viewers to understand the film. The dataset of the present study is formed of three art films, *The Piano Teacher* (2001), *Autumn Sonata* (1978) and *Ten* (2001), which are introduced and the rationale for choosing each film is also given. This chapter introduces multimodal analysis, together with multimodal transcription as the main analytical/interpretive tools of the present research to efficiently capture the contribution of visual images, including aspects of *mise-en-scène* and cinematography, as well as characters' paralinguistic behaviours. The four steps of the research procedure are also discussed in detail. A comprehensive account of how the analysis is carried out, including the specifications of the tables for multimodal transcription, is presented.

As the first step, the current study's cognitive framework and toolkit for character creation are applied to *The Piano Teacher* (Michael Haneke, 2001) in Chapter 5. The character impression formation analysis conducted in this chapter illustrates how film viewers presumably understand the main characters' (Erika's) attributes by means of their social, film and pragmalinguistic (specifically) SA schemas. In terms of character's identity construal, the analysis investigates how the main character's individual attributes are revealed through Erika's relations with other characters and how – as a multifaceted character – she deviates from viewers' social schema of a stereotypical piano teacher. It is also discussed how Haneke's film, as an art film, deviates from the conventional norms of mainstream cinema, notably in terms of character and genre, and how viewers motivate the deviations by means of their procedural schema, as the operational protocols, which help them to comprehend film where their schematic knowledge is inadequate.

Chapter 6 analyses three excerpts from the *Autumn Sonata* (Ingmar Bergman, 1978), the opening sequence and two different parts of the same sequence in the middle of the film. This chapter shows how SAs, performed by various film-specific modalities, contribute to create and develop the main characters (Eva and her mother, Charlotte) and their interpersonal relations. As the film is narrated by a VI or character-narrator, who also provides viewers with the initial impression of the main character (Eva), this chapter also analyses the narrator's SAs in the film's opening monologue. The multimodal analysis of the three excerpts demonstrates how characters are created through a dynamic interaction between their pragmalinguistic behaviours (SAs), paralinguistic acts (gestures and facial expressions) and the cinematic techniques (*mise-*

en-scène aspects, including camera work, costume, and music). This chapter also discusses how viewers' SAs contribute to their understanding non-prototypical SAs, such as those which are carried out non-linguistically (i.e. by means of music).

As the last analysis of the research, Chapter 7 offers an analysis of *Ten* (Abbas Kiarostami, 2002) with respect to the present study's model for character impression formation and the toolkit for cinematic character creation. The analysis shows how the episodic structure of the film's narrative affects viewer's characters' impression formation, as in *Ten*, the characters (Mania and Amin) are evolved in different episodes/chapters. The analysis of *Ten* also confirms the claim of the present study regarding the interconnection of characters and the narrative in which they are set (2.2.3). The analysis focuses on the role of the camera as a narrating agency, through which aspects of characters and their contexts are captured and described. By analysing characters' SAs, a pattern of illocutionary force is revealed, which represents their challenging interpersonal relationship and their struggle for power. Chapter 7 also discusses how the characters' power struggle is inferable by the marked aspects of their conversation, such as turn distribution and frequent interruption of each other. This chapter also discusses how characters' pragmalinguistic behaviour, including their SAs and the structure of their conversation – as well as the audio-visual-related properties – bring about the primary, category-based, bottom-up impression at the beginning of the film, and how such impressions are changed by re-categorisation and even piecemeal integration in later scenes.

1.7 Summary

This chapter has dealt with the preliminaries, central concepts and assumptions, and the aims and RQs of the current study. The general aims are summarized as:

1. Investigating the the role of the viewer's background knowledge stored as different schemas in character impression formation; and
2. Exploring the multimodal context of film and its effect on cinematic characterization. Following the research aims, six RQs were also set out (1.3).

The fundamental assumptions of this research regarding film discourse were also set out in the current chapter, arguing that film, as a multimodal medium, utilises different semiotic resources in the form of multifaceted verbal and audio-visual modalities to communicate meaning, to narrate a story and create characters. In this sense, linguistic and multimodal aspects co-construct character identities. This chapter also suggested that stylistics research on film discourse should take into account particular medium-specific devices. Accordingly, the general characteristics of film discourse with respect to the different modalities and its communicative context were discussed. Film discourse was described as a mediated discourse involving different 'embedded levels' (Short, 1981), in which characters, filmmaker(s), and viewers communicate as participants in meaning-making. Regarding the applicability of linguistic theories in analysing film discourse, film discourse and everyday discourse were compared, and, how cinematic dialogues, as non-authentic interactions, can be analysed using linguistic theories originally devised for natural, everyday conversation. Finally, the structure of the research and the description of chapters were also presented.

2. Schematic knowledge in character impression formation. Part One: Social and film schema

2.1 Introduction

Viewers' existing schemata regarding characters presented in film is central to their comprehension of character roles in new material. For example, research into the cognitive processes of narrative comprehension has focused particularly on the audience's background knowledge and experiences derived from their transactions with the everyday world (e.g., van Dijk and Kintsch, 1983; Bordwell, 1985; van Dijk, 1990; Branigan, 1992; Graesser and Singer and Trabasso, 1994; Emmott, 1997; Semino, 1995, 1997; Culpeper, 2001; Stockwell, 2002). Thus, on the basis of their prior knowledge, the audience are able to make inferences, build expectations, and confirm or disconfirm hypotheses about what they perceive is happening in a text in terms of forming character impressions. Indeed, as Bordwell (1985) asserts, everything from recognising objects and understanding dialogue to comprehending a film's overall story utilises previous knowledge (p. 32-33). The inference-making process when reading narrative fiction or watching narrative film is rather similar in real life, as Emmott (1997:26) argues, 'people make many inferences about known individuals in specific circumstances, just as in reading a fictional narrative, inferences are made on the basis of text-specific information accumulated about the fictional world'.

While it is plausible to imagine that the author/filmmaker may have a kind of 'implied reader' (or viewer) in mind which designates the presumed addressee or the image of the recipient that the author had while writing/making film (Fish, 1980, Iser, 1989) – that is, a viewer with a general knowledge shared between him/herself and the author (Emmott, 1997), in contrast to real-life conversation, text recipients (readers or viewers) and authors (writers and filmmakers) are not directly in contact.¹ Thus, filmmakers may only assume a body of knowledge they share with their audiences; the knowledge of entities, objects, events, people and interpersonal relationships, and

¹ The interaction between filmmaker and viewer is rather different from a 'conversation' where two participants can rely on *mutual knowledge* such as 'the awareness of previous shared knowledge' (Emmott, 1992:6).

linguistic codes and norms as the pragmatic aspect of language which designates how language is used by participants in social interactions. These clusters of shared general knowledge, on which authors of the text draw in order to communicate with their recipients, are cognitively/mentally stored in the form of *categories* and *schemas*.

This study assumes that comprehension of a narrative text and its components, such as characters and events is similar to comprehension of real-life people, things and events. The cognitive process of comprehension in real life, as well as in fictional narrative, is facilitated by means of social and pragmalinguistic schemas, among others. Accordingly, the process of forming impressions about characters, as the inhabitants of a fictional world, is similar to that which takes place with real-life people. In other words, although textual characters are fictional and are hence products of the author's imagination, they are perceived and comprehended cognitively by real-life people. This means that we tend to conceive characters as human beings with similar characteristics, attributes, intentions and dispositions as our own, although we should acknowledge that they are fictional entities whose life depends on the narrative text within which they emerge. Thus, such an insight requires a mixed approach to character, which believes in both the dehumanizing and humanizing approaches (the two approaches and the mixed approach to character will be discussed respectively in 2.2.1, 2.2.2, 2.2.3).

Unlike characters in narrative fiction, film characters are multimodally created and presented in that they are seen and heard by viewers, and in this regard, they resemble real-life people. As discussed in 1.5.1, film characters are constructed through an interplay of different semiotic modes, including verbal (dialogues), and cinematic (film style and techniques). Film offers a specific structure of meaning-making constraints and conventions including generic, narrative and stylistic which distinguishes it from narrative fiction. The medium-specific multimodal, audiovisual elements of film contribute to characterization, and character creation and development which accordingly affect the way in which viewers comprehend characters (a toolkit for cinematic character creation will be suggested in 2.3.1).

With regards to the human-like fictional nature of character (whose comprehension as discussed, draws on the same social and linguistic schemas used for the comprehension of real-life people) and considering the specification of film as a multimodal medium, a cognitive model for film-character comprehension is proposed which argues that character comprehension in film involves three planes of knowledge:

1. Social knowledge (knowledge of real-life people, the social roles, relations and functions).
2. Narrative film knowledge (knowledge of narrative and stylistic systems)
3. Pragmalinguistic knowledge (the knowledge of linguistic and pragmatic norms, using language as a means of social interaction in different contexts).

First, on the social knowledge plane, following Culpeper (2001) and Livingston (1998), the model draws on a specific type of cognition – namely social cognition – that is ‘the study of people’s knowledge of the social world in which they live [and] how people function as members of particular cultures and groups’ (Condor and Antaki, 1997:343). The reliance on social cognitive theories is explained by the fact that the process of making inferences and forming impressions about characters is assumed to be similar to that of real-life people’s. Among the theoretical frameworks of social cognition, the suggested model is particularly focused on *social categorization* and *schema theory*. The former deals with how people are categorised as different members of social groups in people’s minds, and the latter is ‘a theoretical consideration of how people package world knowledge and use this in the interpretation of texts’ (Condor and Antaki, 1997: 126).

Second, on the film knowledge plane, this model relies loosely on *cognitive film theory* as a body of film theory centred on the notion of cognition and the cognitive processes involved in the acquisition, organisation, and use of knowledge of information processing activities (Kuhn and Westwell, 2012; Currie, 2009). The specific focus is on Bordwell’s (1985) cognitive framework of film comprehension, whose main concern is with the strategies and procedures that allow ‘active’ viewers to generate hypotheses concerning the film screened before them (the term ‘active’ viewer has been discussed in 1.5.2).

Third, the pragmalinguistic plane – which in this research is conceptualized as the knowledge of language and language in context – maintains that by means of their pragmalinguistic schematic knowledge, viewers can decode and understand characters’ verbal behaviours structured in the form of monologues and dialogues or more precisely, ‘polylogues’ (Dyrel, 2011:42) or exchanges held by more than two interlocutors. Among the linguistic/pragmatic theories applied to the stylistic analysis of character dialogue in dramatic, as well as film texts, SAT (Austin, 1962, Searle, 1969) retains some usefulness as it has the potential to reveal how the characters are formed and characterized through what they say and how they say it. The type of SAs on which characters tend to rely can be related to different aspects of their character and

interpersonal relations. As discussed in section 3.3, SAs are conceptualized as cognitive schemas. The cognitive/schematic approach to SA legitimizes many variations of one SA by considering their rules not as constitutive (i.e. grammatical rules) but more as principles. Furthermore, the schematic treatment of SA would eliminate the limitations of SAT, including the difficulty in distinguishing among related SAs and the discordance between grammatical forms of the locution. Having described film as an ensemble of different modalities, and by adopting a schematic approach to SA, it can be assumed that some of the SAs can be expressed through audiovisual cinematic devices other than language. For example, SAs can be communicated and/or reinforced paralinguistically including facial expression and eye ‘vector’, i.e. an invisible line connecting two participants, an actor and a ‘goal’ (Kress and van Leeuwen, 1996), and/or by cinematic devices – such as music, character-narrator, lighting and camera work – can establish or reinforce the value or force of SAs.

Therefore, this cognitive model necessarily assumes that film viewing is a dynamic activity. It follows the cognitivist paradigm that maintains that viewers participate in a complex process of actively elaborating what the film sets forth (see 1.5.2 for further discussion on ‘active viewers’). This is mainly because ‘films are not audio-visual recordings of reality; they are structured discourses which use a careful selection of images and sounds to convey a narrative, evoke a response, and encode a message’ (Wagstaff, 1996:222, in Piazza, 2011).

Thus, concerning the present study’s aims, this chapter deals with viewers’ background knowledge of people and films stored as social and film schemas (Aims 1 and 2, see 1.3). By drawing on social cognition theories, it also investigates the function of different schemas in model viewers’ character impression formation (Aim 1). It also discusses how film characters are created by means of multimodal-cinematic devices and suggests a toolkit for cinematic character creation (Aim 2). Moreover, the theoretical and critical review addresses RQ 1 concerning character creation and development in the multimodal context of film (see 2.3 and 2.3.1), RQ 2 regarding the film elements (including narrative, film style and techniques) that activate the viewers’ film schema (see 2.7), and RQ 3 concerning the plausible cognitive mechanism of narrative comprehension (see 2.7.1).

The structure of this chapter is as follows. The critical review begins with the expansion of the concept of character and characterization as the core concepts of the research, which was introduced briefly in 1.5. Section 2.2 discusses the literary

approaches to character and how character has been dealt with in literary criticism by describing three approaches: the dehumanizing (2.2.1), the humanizing (2.2.2), and the mixed approach (2.2.3). It also discusses how the latter approach – as the stance of the current research – highlights the fundamental theoretical assumption of the suggested cognitive model. Section 2.3 deals with characterization in narrative film and how it differs from that of narrative fiction in terms of the devices each medium employs. Accordingly, considering the medium-specific devices, including film style and techniques, a toolkit for cinematic characterization is proposed in 2.3.1.

The theoretical discussion on characterization is followed by the specification of the suggested cognitive model discussed earlier. The theoretical framework of the model is divided into two parts: this chapter discusses the first and the second plane of general knowledge (social and film schema) and the next chapter (Chapter 3) tackles the third plane (the pragmalinguistic plane). The critical review of the cognitive framework begins in 2.4, where the preliminaries of general knowledge and its role in text comprehension are investigated. Section 2.5 discusses the structure of general knowledge and its mental representation. This is followed by sections 2.5.1 and 2.5.2, in which discusses two theories of cognitive strategies of comprehension – schema theory (as a concept central to text-processing and text comprehension models) and its implication in literary text comprehension, and prototype theory as the theoretical backbone of categorization. Section 2.5.3 explores how these two cognitive strategies are exploited in social perception. Section 2.6 discusses the approaches to impression formation, notably the model developed by Fiske and Neuberg (1990). As the last part of the social knowledge plane, section 2.6.1 argues how this model is compatible with the impression formation of fictional characters and the characters' typology of 'flat' and 'round' characters (Forster, 1987).

Next, section 2.7 addresses the second plane of viewers' general knowledge conceptualized as 'film schema' – that is, the knowledge of formal norms and conventions of the medium. Drawing loosely on Bordwell's (1985) typology of film schemas, it will be argued that film schema consists of four (sub)schemas, namely 'narrative', 'film style and technique', 'genre' and 'procedural' schemas, which are discussed respectively in 2.7.1, 2.7.2, 2.7.3 and 2.7.4. Finally, the critical points of the chapter are summarized in 2.8.

2.2 Literary approaches to character

Film narrative and its components (time, event, and point of view) have been explored in contemporary film studies (Bordwell, 1985; Branigan, 1992; Buckland, 2008) and film stylistics (Chatman, 1978, 1990; Loth, 2000; Short, 2007). However, the concept of character has been investigated to a lesser extent in the literature of both disciplines –

although in stylistics, Toolan (2011), Bednarek (2010, 2011) and Mandala (2011) are some exceptions. Thus, the systematic and non-reductive study of cinematic character and characterization remains one of the challenges in the stylistics domain, in which they are often studied in close analogy with those in narrative fiction.

Narrative fiction is a productive starting point for two reasons. Firstly, characters in both narrative fiction and film have in common their ‘fictional’ nature. Although through practicing the ‘code of realism’ (Bednarek, 2010) – the imitation of reality – characters share some characteristics with real-life people, they do not represent real entities. Secondly, narrative theory has a relatively high transfer value to other subject areas, such as narrative film. This means that we can transfer those concepts relating to characters and characterization from fiction to film. However, a comprehensive and all-encompassing study of cinematic character and characterization cannot be limited to transferring the definition and specifications of character from fiction to film. This is mainly because film and fiction rely on radically different ‘codes’ to communicate, as fiction relies on written language while film, as a multimodal medium, deploys an ensemble of both visual and verbal semiotic codes as elements of film text to communicate meaning (see 1.5.1).

However, in order to discuss how characters are presented in film text, we can start from investigating how characters are presented in narrative fiction due to its transference value. But prior to this, the literary criticism approaches to character and characterization are explored.

The term character is polysemic and ambiguous. Miller (1992:31) defines it as ‘a carved design or sign’ and states: ‘The word character, like the word lineaments and the word person (from the Latin word for mask), involves the presumption that external signs correspond to and reveal an otherwise hidden inner nature’.

A long-lasting debate has raged in literary criticism on the ‘ontological status of character’ and the question of ‘where does the character exist?’ has been repeatedly addressed in literary criticism literature. Concerning this question, Culpeper (2001:5-9) summarizes research on characterization in literary criticism as belonging to two opposite camps: (1) the ‘humanizing’ approach, which assumes that characters are textual phenomenon, they are independent from the plot, and (2) the ‘dehumanizing’ approach which argues that characters are the product of narrative plot and they ‘have a purely textual existence’ (ibid., p.7). Culpeper then adopts a mixed approach (3) in which the emphasis is put on both textual and psychological levels of character description. He believes that while we (as readers/viewers) interpret characters from narrative discourse, we apply the cognitive mechanisms which are the modifications of the cognitive processes we use in understanding people in real-life. These three approaches and the current research’s approach to character are further examined in the following sections.

2.2.1 The dehumanizing approach

Since Aristotle, narrative theory has tended to favour actions over characters. This tendency was especially marked in the two major 20th-century schools of narrative theory, Formalism and Structuralism, which grant a lower priority to the concept of character and tend to view characters as a function of narrative structure similar to plot. They argue that a character is of marginal relevance to narrative. According to Formalist narrative theory, characters are only a product of what a story requires them to do. According to Greimas (1966), the characters’ status is merely functional – they are participants or ‘actants’ rather than personages. Greimas assumes six roles, which consist of three interrelated pairs: sender/receiver, subject/object, and helper/opponent’ (Greimas, 1966, cited in Culpeper, 2001:50). Similarly, for Propp (1968), characters are simply the product of what it is that a Russian fairy tale requires them to do. He proposes a number of character roles such as villain, donor, helper, sought-for person (and her father), dispatcher, hero, and false hero. Similarly, Tomashevsky (1971) believes that characters are second to plot and describes character as a kind of living support for the different motives and a running process for grouping and connecting these motives:

The character plays the role of connecting thread helping us to orient ourselves amid the piling-up of details, an auxiliary means for classing and ordering particular motives (Tomashevsky, 1971, cited in Chatman, 1978: 111).

According to the plot-dominant approach, the differences in character's appearance, age, sex, life concerns, status, etc. are only minor variants, and it is similarity which is of high importance. Chatman neatly summarizes such formalist belief:

Narrative theory, they say, must avoid psychological essences; aspects of character can only be 'functions'. They wish to analyze what characters do in a story, not what they are – that is, 'are' by some outside psychological or moral measures (1978:111).

The debate over whether character or action is more important has been long-standing among the literary critics, writers and playwrights. On the other hand, critics who support the eminence of plot (action) believe that character does not necessarily produce obstacles or conflict, but obstacles and conflict necessarily bring out characters. Brecht clarified this view: 'Everything hangs on the story; it is the heart of the theatrical performance. For it is what happens between people that provides them with the material to discuss, criticize, alter' (in Hall, 1998:26).

The plot-dominance approach dehumanizes characters and denies that characters are human and believes that they only have a purely textual existence. The idea of character as a paradigm of plot according to plot-dominant theories is neatly explained by Newman (2005:6):

The way character is understood in literature, according to plot-dominant theories, is as a bundle of traits subordinate to a proper name. By "traits" theorists mean not only stable personality traits, such as introversion or intelligence, but all manner of descriptive data about behavior and mental states.

The dehumanizing framework, notably Greimas' (1966) and Prop's (1968) functional account of character, attempts to capture its universal roles. The focus in this approach is on the type of doer (such as helper, donor, and villain) as a function of deed (good deed, bad deed) not on the motivation that makes the doer to do the deed, which can be the major difference between the dehumanizing approach and the humanizing approach.

2.2.2 The humanizing approach

The fact that characters reflect or refer to real people, or – in the more extreme view – they are real people, forms the basis of the humanizing approach, which assumes that characters are imitations or representations of real people with all the characteristics of real human beings. Bradley's (1960) analysis of Shakespeare's characters (Hamlet, Othello, King Lear, and Macbeth) is one of the best-known examples of such an approach. He speculates about the characters' unconscious motivations and constructs a past, present, and future for them. Seeing characters as an imitation of real-people, the humanizing approach tends to abstract them from the text. Mudrich (1961:21) asserts that 'characters acquire, in the course of an action, a kind of independence from the events in which they live, and that they can be usually discussed at some distance from their context'. A supporter of this approach, Margolin (1983:3) believes that 'character is meaningless without the notion of individual person, mind, inner states and mental or physical life'. Further, Mille (1992:31) assumes that one of the powerful attractions of reading novels is 'the way the reading of a novel produces the powerful illusion of an event more intimate access to the mind and heart of another person than the reader can ever have in real life'. Similar to Miller's account, Smith (1995:17) points out that the term *character*, in its most basic sense, typically denotes a fictional, analogous-to-human agent. He highlights the fundamental role of character in audience engagement in fictional text and believes that this demands a person-like existence for character.

It seems that the humanizing approach is more viable than the dehumanizing approach in such narrative forms as drama and film, partly because, as Culpeper (2001:7) puts it, 'part of the enjoyment of films and plays is imagining characters as if they are real people'. We also frequently talk about characters in terms that are applicable to real people. This is mainly because 'our imaginative engagement with fictional narratives requires a basic notion of human agency or 'personhood', which is a fundamental element of both our ordinary social interactions and of our imaginative activity' (Newman, 2005:19). Like Culpeper (2001), Newman also believes that the humanizing approach is more consistent with studies on character and characterization in film and maintains that the de-humanizing approach does not work in narrative forms such as film, in which characters are visual as well as verbal representations (2005:6).

In sum, the humanizing approach may facilitate character representation and comprehension as it legitimizes the transference of psychological theories for the

interpretation of human behaviour. However, this fails to unveil the specificity of characters in each narrative text and isolates them from the fictional text in which they appear.

2.2.3 A mixed approach

A recent trend in narratology and literary criticism assumes a balance between the two extreme camps of ‘humanization’ and ‘dehumanization’ of character and believes that both character and plot are logically necessary to narrative (Chatman, 1978; Rimmon-Kenan, 1983; Lothe, 2000; Culpeper, 2001, 2002). This approach is also consistent with Barthes’ idea (1974:178, in Lothe, 2000:80) that: ‘[t]he character and the discourse are each other’s accomplices’. Obviously fictional characters and real people are different in many ways. A character is, as van Peer (1989:9) asserts

‘what the reader infers from words, sentences, paragraphs and textual compositions depicting, describing or suggesting actions, thoughts, utterances or feelings of a protagonist, and the linguistic organization of a text predetermines the kind of picture one may compose of a character’.

And thus, a fictional entity and its life are contingent on the narrative text, in which s/he emerges¹.

We cannot deny that what we all do when we read a text, or watch and listen to plays or film is to attempt to experience vicariously somebody else’s life and therefore comprehend and interpret characters with the structures and processes that we use to interpret our own real-life experiences of people. Since our encounters with characters (whether in narrative fiction, drama or film) require the same cognitive abilities that we use in our encounters with real individuals, we can approach characters ‘as persons rather than as some other category of being’ (Newman, 2005:8).

Stressing this fact that the insights from both humanizing and dehumanizing camps are significant for an insightful interpretation of character in a narrative text, the theoretical stance in this study follows a mixed approach which takes into account both a textual and cognitive plane of character description. This, as Culpeper (2001:11)

¹ This is the reason that theoretically explains why narrative comprehension receives considerable attention in this research, as it is explicitly part of research questions (see RQ 3).

claims, is consistent with the goals of stylistic analysis, in which according to Short and Semino (2008:117),

‘the analysis of literary works which involves a systematic and detailed account of their linguistic properties, linked to what we know about the details of the reading process, in order to arrive at a detailed account of how readers understand particular texts in the ways they do’.

Having established the theoretical account of the cognitive and textual approaches to fictional character and positioned the present research’s stance, the next section discusses how characters are developed in narrative fiction and film. It also compares how fiction and film are different in character creation and presentation in terms of their medium-specific characteristics.

2.3 Characterization in narrative film

Character, as a construct within the narrative, can be set out in terms of a network of traits. Although characters can be described in relative isolation from other textual elements, they are established as characters through characterization and character indicators in a text. Rimmon-Kenan (2002:59) describes ‘characterization’ as a process of ‘assembling various character indicators (in the form of textual cues) distributed along the text-continuum and inferring the traits from them’. Accordingly, characterization is a process through which characters are introduced, shaped and developed.

Particular narrative media exploit varied means of character creation, presentation and development. In narrative fiction, characters are a part of a linguistically constructed fiction. Such characterization techniques in narrative fiction are self-presentation and other-presentation – meaning that characters describe themselves, or alternatively, are described by a narrator or by other characters. Writers can also give vivid and direct descriptions of characters to give readers an immediate sense of who they are. For instance, In J. D. Salinger’s novel *The Catcher in the Rye*

(1951) Holden Caulfield, the ‘homodiegetic’ narrator (Genette, 1983), who is also a character in the narrative, describes another character, his roommate, Ackley¹:

He hardly ever went anywhere. He was a very particular guy. He was a senior, and he would have been at Pencey the whole four years and all, but nobody ever called him anything except ‘Ackley’. Not even Herb Gale, his own roommate, ever called him ‘Bob’ or even ‘Ack’. If he ever gets married, his own wife’ll probably call him ‘Ackley’. He was one of these very very tall, round-shouldered guys – he was about six-four – with lousy teeth. The whole time he roomed next to me, I never ever once saw him brush his teeth. They always looked mossy and awful, and he damn near made you sick if you saw him in the dining room with his mouth full of mashed potatoes and peas or something. Besides that, he had a lot of pimples. Not just on his forehead or his chin, like most guys, but all over his whole face. And not only that, he had a terrible personality. He was also sort of a nasty guy. I wasn’t too crazy about him, to tell you the truth (Salinger, 1951:26).

Here, Ackley is characterized through Holden’s description; readers’ impression of Ackley is formed entirely on the basis of Holden’s account. This is not to say that the described characters’ traits and attributes can be re-established by his own actions and words and if they come out against the others’ descriptions, indeed, they may result in a discrepancy between the described accounts and the characters’ own deeds and words.

However, the research undertaken in narratology, as well as stylistics, has rarely considered cinematic/film narratives – studies on character and characterization in narrative have mainly focused on literary and dramatic texts. Among such studies, Rimmon-Kenan (2002 [1983]) and Culpeper (2001) propose toolkits for characterization in literary and dramatic texts. Here, Culpeper’s suggested checklist is discussed, as stage plays are much more similar to film than narrative fiction. This is mainly due to the multimodal characteristics of stage play and film. However, in spite of their similarities, these two media are different, as, in film, we have the presence of the camera through which everything is observed and narrated. Drawing on research on the identity of ‘real people’ as well as literary studies such as (Rimmon-Kenan, 2002 [1983]), Culpeper (2001) suggests a number of features in dramatic text which give rise to information about characters. Culpeper’s checklist includes explicit cues in which characters provide precise information about themselves and/or about other characters

¹ The illustrative examples are chosen and discussed by the researcher. Wherever, the examples are taken from the surveyed literature, the reference/source would be acknowledged.

(p. 167), and implicit cues, where information needs to be derived by inference (ibid., p. 172), as well as authorial cues, over which characters notionally have no power of choice, such as proper names and stage direction (ibid., p. 229).

Culpeper's (2001) characterization checklist includes different and manifold devices, not all of which (for instance verse, prose and stage directions) are relevant to film. A comprehensive toolkit for cinematic characterization needs to consider film's audiovisual aspects – including style and technique – which contribute to the creation of characters' identity and/or the amplification of character impression (see 1.5.1). Against narrative fiction and dramatic character, cinematic character targets the audience in a completely different fashion; everything in film, including the characters themselves, is multimodally presented. In fact, film's multimodal quality is what distinguishes it from other narrative media such as novel, short story, playtext and radio theatre¹. Here, taking into account the medium-specific characteristics of film, a toolkit for cinematic characterization is suggested. Although it loosely draws on Culpeper's explicit/implicit taxonomy of character presentation, it takes into account film's style and techniques as well as its multimodal qualities.

2.3.1 Cinematic character presentation checklist

Explicit/direct presentation

Voice-over (VO) and/or voice-in (VI) narrator description
(homodiegetic/heterodiegetic) presentation of characters.

Implicit/indirect presentation

1. Linguistic features (dialogue and speech)
 - Conversational structure (e.g. turn length, turn taking, turn allocation, topic shift, topic control, incomplete turns, interruptions, hesitations)
 - Deviation from the conversational maxims, conversational implicature
 - Lexis (lexical choices/diversity, surge? features, affective language, terms of address, key words)
 - Syntactic structure
 - Accent and dialect
 - Pragmatic aspects (speech acts, (im)politeness)

¹ Although 'stage play' exploits the visual properties, in film characters' actions and behaviors are observed minutely by the camera. Here, the term 'play' refers to 'play text'.

2. Paralinguistic feature

Vocal qualities (pitch range/variations, tempo, loudness, voice quality)

Physical qualities (facial expression, posture)

3. Film style and techniques

Framing (close-up/medium-shot/long-shot)

Camera works/effects (camera distance, camera angle, camera level)

Costume and make-up

Setting and context (including characters' physical setting and company)

Film score/soundtrack

Editing

Explicit/direct presentation refers to when a character is presented or described in a direct and unmediated way. Characters can be described by a voice-over (VO) narrator; a narrating voice that gives a direct description of events and characters. The VO narrator can narrate from different levels of the narrative; they can be a 'homodiegetic' (Genette, 1983) character-narrator in the narrative or a 'heterodiegetic' omniscient narrator who is not present in the narrative but has an authoritative role. For example, in *The Assassination of Jesse James by the Coward Robert Ford* (Andrew Dominik, 2007) a heterodiegetic VO narrator tells the story of Jesse James in an omniscient voice. At the beginning of the film, the VO describes Jessie, while we see Jessie doing daily chores:

He was growing into middle age and was living then in a bungalow on Woodland Avenue [...]. He installed himself in a rocking chair and smoked a cigar down in the evening as his wife wiped her pink hands on an apron and reported happily on their two children. His children knew his legs, the sting of his mustache against their cheeks. They didn't know how their father made his living, or why they so often moved. They didn't even know their father's name.

The VO's description of Jesse's character is accompanied by a visual presentation of him. The VO adds specific details about Jessie which can hardly be presented visually. At times, the VO has a reinforcing function and places emphasis on what is presented visually. For example, when the VO talks about Jesse's scars, a few seconds later his scars are shown.

Characters may also be presented by means of other characters' words in the film. An example is a scene in Ingmar Bergman's *Cries and Whispers* (1972) in which the sisters sit successively in front of the camera and describe each other in long takes (see 3.5.5).

In contrast, indirect or implicit character presentation is achieved by demonstrating, exemplifying and dramatizing the individual's traits rather than describing/presenting them explicitly. A character's speech and dialogue – whether in a conversation or as a soliloquy – are indicative of their traits and contribute significantly to characterization. For instance, the fact that someone speaks slowly may reveal something about the speaker, as, on the basis of our assumptions about slow speakers, it can be inferred that they are hesitant or ponderous. Here, it should be pointed out (as discussed in the RQs in 1.3) that of all the pragmatic aspects of dialogue listed as linguistic features of implicit/direct character representation, this study will – along with considering the physical qualities such as facial expression and posture – focus on characters' SAs and their functions in character creation due to the significant role of SAs in characterization (see chapter 3).

The other key aspect of implicit/indirect cinematic character presentation is the style and techniques on which film distinctively draws to communicate. Framing, as 'the arrangement and composition of elements in a film frame' refers to 'the entire rectangular area of a film image as projected or as visible on the screen' (Kuhn and Westwell, 2012:186), can dramatically affect how viewers perceive characters. For example, Thompson (2008:182) assumes that a 'frame is not simply a neutral border, it imposes a certain vantage point onto the material within the image'. Framing determines the position from which the character (or an event) is viewed and perceived. The qualities of framing include the *distance* between the camera and the character or object being framed, the *angle* of the camera and the *level* from which a character is shot. Framing an image may supply a sense of closeness to or distance from the object being shot. The *distance of framing* can produce different kinds of shots, which is a continuous action on the cinema screen resulting from what appears to be a single run of the camera (Kuhn and Westwell, 2012:373). By using different types of shots, from extreme long shots (ELS) to extreme close ups (ECU), the filmmaker can highlight the importance of anything, from a character's subtle emotions to giving us a view of a whole world – a city or town – where the story is set. For instance, the character of the Tramp in Charlie Chaplin's films is usually framed in long shot (LS) which allows the character to act out through pantomime while at the same time, the dramatic facial expressions can also be captured from a distance. LS has also a diminishing effect, as for instance, framing a lone character in a vast landscape can make him/her appear overwhelmed by surroundings. In Abbas Kiarostami's *The Wind Will Carry Us* (1999)

the LS and the ELS of the moving motorbike may suggest how inconsequential human beings are in comparison to nature.

Medium shot (MS), as the most common type, captures characters from the waist up and provides effective framing for conversation scenes especially if hand movements are part of the performance. Close-up shot (CUS) focuses on the face or a part of the character's body (such as hand or lips) to present and amplify details. When a character is shot in CU, viewers' attention is drawn to an important detail. For example, by simply framing a character's eyes, hands or lips, a sense of horror, love, anger, or happiness may easily be conveyed even in the absence of dialogue. In Kiarostami's *Shirin* (2007), by using simple CUSs, the filmmaker focuses on characters' emotions as they are watching a dramatic film. A wide range of reactions such as sobbing, biting of lips, fiddling with scarves, and the expressions of absorbed attention are all captured closely through CUSs.

Camera effects, including the level, height and the orientation of the camera in relation to character, can also be used to affect viewers' understanding of characters by guiding their judgment. A specific scene can be shot from different camera angles and levels – each one motivating different impressions. For instance, a low-angle shot, as a common technique in classic horror films, can make a character look threatening, powerful or intimidating. Conversely, an oblique/canted angle, in which the camera is tilted, may suggest a sense of imbalance, transition and instability, and is mostly used in horror films to amplify apprehension and suspense. Although framing and camera effects may conventionally convey specific impressions, they have no absolute and established meaning. In other words, meaning of a scene should be taken into account in the interpretation of camera work in relation to characters, as it is the context which determines the function and meaning of the framing. This is mostly true in art film, in which there are frequent and extensive deviations from the conventional functions of film techniques and style (see 1.4 and appendix 1 for further explanation of art film).

In addition to camera work and movement, aspects of *mise-en-scène* such as characters' costume and make-up can play an important role in characterization. Such visual aspects are capable of quickly conveying subtle details of characters' personality and history to viewers. Along with costume, makeup may also help communicate physical aspects of character – especially facial aspects. Makeup can transmit physical and temporal changes such as age, or accentuate expressive qualities of characters' face. For example, the Dude's costume and makeup in the Coen brothers' *Big Lebowski*

(1998) reveal who the Dude is from the first moment he appears on the screen. At the beginning of the film, the Dude is seen in a supermarket, wearing sunglasses, a bathrobe, shorts, V-neck t-shirt, and slippers. In terms of his appearance, as well as his body language, his character can immediately be recognized: he is unemployed, a slacker and a loser. In fact, the character's costume and make-up imply his socioeconomic position and lifestyle as well as more personal features, including his age, race, and temperament.

Next, characters' physical context is another expressive indicator as the setting in which characters appear implies their emotional and social state. In *White Night* (2002) – an Iranian free adaptation of Dostoevsky's short story by the same name – the bleak and gloomy house of the nameless narrator reflects his pessimism and loneliness. As a literature professor, he is a perpetual dreamer who lives in his own world, in which writers are his family members. The portraits of his favourite writers (mostly such authors as Hemingway, Camus, Maugham, Proust and Sartre, who are usually associated with existentialism and cynicism) cover his grey and dark green walls. The dusty bookshelves with disorderly piles of books symbolize his disorganized mind. In this film, the character's physical context can be understood as reflecting his lonely and pessimistic personality.

Music, as another aspect of *mise-en-scène*, fleshes out what is not visually discernable in the image; its implicit content such as emotion and mood. With such a capacity, Kalinak (1992:86) asserts that 'music is expected to perform various functions: provide characterization, embody abstract ideas, externalize thought, and create mood and emotion'. Highlighting the areas in which film scores can serve the image, Coupland (1949) mentions that it establishes a convincing atmosphere of time and place, and underlines character's unspoken feelings and psychological state while serving as a kind of neutral background filler to the action. In another account, Gorbman (1987:12) asserts that film soundtrack, as 'a signifier of emotion', sets specific moods and emphasizes particular emotions suggested in the narrative. He discusses the referential and narrative functions of soundtrack, and notes that music can indicate point of view, and establish setting and characters and also interpret and illustrate narrative events. In addition, aspects of soundtrack, including rhythm, melody, harmony and instrumentation can function narratively and associate with particular aspects of narrative such as character, setting, situation, and time. (In 6.5, the role of music in characterization will be rigorously discussed through analyzing a piece by

Chopin in a sequence of Ingmar Bergman's *Autumn Sonata*, which demonstrates how music can fulfil the functions of the characters' SA in the absence of dialogue).

In summary, this section has discussed the character presentation checklist – a revised and modified version of Culpeper's theatrical characterization – that will be used to systematically analyse the three films. The researcher believes that the suggested toolkit offers value in terms of replicability and can be used in the analysis of linguistic and non-linguistic, multimodal aspects of cinematic character.

2.4 General knowledge and text comprehension

The reader/viewer's general knowledge is a concept central to text-processing and text comprehension models (van Dijk and Kintsch, 1983; D'Agostino and Fincher-Kiefer, 1992, Britton and Graesser, 1996; Zwaan, 1996). The reader/viewer brings 'certain pre-understanding, a dim context of beliefs and expectations' to the text 'within which the work's various features are assessed' (Eagleton, 1983:77).

Studies in Artificial Intelligence, Cognitive Psychology and Cognitive Stylistics have stressed the significant role of general knowledge in text comprehension in terms of formulating theories about the organization of information in the mind and how it is utilized in text comprehension (Labov, 1972; Rumelhart, 1975; Giora, 1996; Emmott, 1997; Branigan, 2002; Walsh, 2007; Stockwell, 2002; Biocca, 1991; Thorndyke, 1977). Emmott (1995:26) reports that much research on the utilization of general knowledge during reading has focused on how the bulk of prior knowledge is used to make basic inferences which 'contribute both to overall interpretation of narrative's plot or theme and to the nuts and bolts level of identifying characters and context'.

Text comprehension, as well as understanding interaction and interactants in a text, involves an interface between the media product and viewers' prior knowledge (Dynel, 2011; Emmott, 1997; Culpeper, 2001, 2002). Dynel (2011) distinguishes between different types of prior knowledge and discusses how readers/viewers draw inferences on the basis of limited 'common ground' (Karttunen and Peters, 1979) with characters, 'communal common ground' held by members of a society, and 'personal common ground' developed by individuals in interactions, as well as the 'current common ground', that generated by consecutive utterances within a particular communicative context (Clark and Marshal, 1981; Clark and Schaefer, 1992; Clark,

1996). Dynel also argues that in contrast with common ground of the current and communal types, which are unproblematic; recipients share only some part of the personal common ground with characters, ‘who have their history co-constructing their identities, of which recipients cannot be cognizant’ (2011:53). Thus, viewers can only make ‘conjectures’ or speculate by ‘reconstructing the common ground that the speakers presuppose such that the hearer can use the utterance to expand the common ground’ and thereby assign the utterance an interpretation (Bubel, 2008:63).

The role that general knowledge plays in people’s interpretation can be illustrated by the following riddle. A boy and his parent are in a car accident, the boy is rushed to the hospital for urgent surgery. But there the surgeon refuses to operate on him because surgeons never operate on their children. Who is the surgeon? It is the boys’ mother, but of course, no one thinks of that. As this example elucidates, when preparing to encounter a surgeon, we are likely to have a strong expectation that they will be male.

Although there may be idiosyncratic differences among ways of understanding events and people, there are grounds for believing that the patterns of comprehension are shared by viewers.

From a Cognitive Psychology perspective, general knowledge is organised in long-term memory in schemas and categories and involves various aspects of the world which help the perceiver to remember information, retrieve it and understand new experiences. The next sections deal with the mental representation of general knowledge and how this knowledge is used to retrieve textual cues and make inferences.

2.5 The structure of general knowledge

Understanding how information is organized in the mind contributes to elucidating how a body of knowledge is stored and utilized in comprehending narrative film text in general, and film characters specifically.

The two most influential cognitive theories of knowledge structure – *prototype theory* and *schema theory* – in spite of certain overlaps between their schematic and categorical organization, differ considerably. Firstly, categorical organization tends to consider single categories or simple hierarchies of categories, however, schemas tend to

consider clusters of categories organized in complex structures (Culpeper, 2001:60; also Fiske and Taylor, 1991:117). For instance, when we discuss *furniture* as a general category, we may simply think of a table and sofa, but when we think about a restaurant, a detailed sketch of *objects* (restaurant furniture), *procedures* (ordering, serving, eating, paying), *people* (waiting staff, doormen, chefs) are all instantiated. Secondly, categories are relatively ‘less constrained and more flexible than schemas’ (Giora and Ne’eman, 1996:717). Against categories, once a schema is formed and established, it is rather difficult to undertake change completely. Schemas often preserve their basic structures and the schema changes may occur at the level of trivial things. For example, we have a schematic and general knowledge about a restaurant as a place where people pay to sit and eat meals that are cooked and served. Our restaurant schema works almost with every type of restaurant and the only difference we may encounter is merely in details such as whether we pay first and then eat or *vice versa*.

In the next section, the fundamental principles of schema and prototype theory and how the bulk of stored and organized knowledge is retrieved and instantiated by means of textual cues are discussed.

2.5.1 Schema theory: implications for text comprehension

The origin of modern schema theory is usually identified in the work of psychologist Barlett ([1932] 1995). In his empirical investigation, he argues that comprehension is shaped by the expectations formed on the basis of prior knowledge. According to Semino (1995:82), Barlett’s schema theory has been neglected in the study of cognitive processes for forty years. It was in the early 70s that schema theory developed in interdisciplinary studies. Its range of application includes a wide variety of areas, as well as discourse comprehension (van Dijk and Kintsch, 1983; van Dijk, 1990), narrative comprehension (Thorndyke, 1977; Rumelhart, 1975; Mandler and Johnson, 1977; Emmott, 1997), cognitive stylistics (Stockwell, 2002; Semino, 1995; Cook, 1994; Walsh, 2007) and film comprehension (Bordwell, 1985, 1989; Biocca, 1991; Giora and Ne’eman, 1996; and Branigan, 1992).

The adaption of schematic models of comprehension in Cognitive Psychology, Artificial Intelligence and Cognitive Linguistics has led to a proliferation of terms for these cognitive building blocks. Other related terms such as *frame* and *script* are used to refer to particular types of schemas. Frame describes knowledge related to visual

perception, for example, background knowledge about different kinds of restaurant (Minsky, 1975; Fillmore, 1985), while *script* refers to knowledge about sequences of related actions which we encounter frequently, such as going to the pub or a restaurant (Schank and Abelson, 1977). However, despite the proliferation of terms referring to such prior knowledge structures, schema has continued to be used as a catch-all term, particularly in Cognitive Psychology and is accepted as the most general label for knowledge structures (Cook, 1994; Eysenck and Kean, 1990). Following studies in cognitive stylistics (Cook, 1994; Semino, 1995; Cockcroft, 2002; Walsh, 2007; Giora, 1996; Stockwell, 2002; Gladsky, 1992; Muske, 1990; Culpeper, 2001, 2009), the present research understands and uses schema as a blanket term which involves and fulfils the definition and application of the other prior knowledge-related terms mentioned above.

As briefly discussed in 1.4, a schema is a cognitively structured cluster of concepts that involves our generic knowledge about concepts, objects, situations, events, actions and their sequences (Rumelhart, 1980; Hastie, 1981; Brewer and Nakamura, 1984; Fiske and Taylor, 1991; Eysenck and Keane, 1990). Jeffries and McIntyre (2010) note that schemas also encompass linguistic behaviour in different situations, such as job interviews (p. 128). A schema also contains ‘the network of interrelations among constituents of concepts and categories’ (Rumelhart, 1980:34). Schemas are assumed to be abstracted from or induced by experience (Rumelhart, 1980:40; Emmott, 1995:23) in the sense that individuals may not be able to remember the original incidents that caused them to form a specific schema within their cognitive processes. The structure of schematic knowledge is dynamic and experientially developing¹ (Rumelhart and Norman, 1981; Rumelhart, 1984; Stockwell, 2002; Cook, 1994; Culpeper, 2001) in that it is continually adjusted to match new experiences and incoming information (Barlett, 1932:201; Neisser, 1976:54; Walsh, 2007). Thus, as Walsh (2007:95) points out, a ‘visit to different kinds of restaurant, such as a self-service café or a sushi bar, will require modifications to one’s existing restaurant schema’.

Text comprehension depends on the activation of relevant schemas. As Rumelhart (1980:47) points out, the process of understanding discourse is the process of

¹ The dynamic nature of schematic knowledge and the way in which it is continually adjusted to match new incoming information is taken up by Stockwell (2009) and Cook (1994) in their account of discourse deviation.

‘selection and instantiation of schema or a configuration of schemas that successfully account for the text concept in question’.

The rationale behind the application of schema theory to literary and film text is that schema theory provides a dynamic framework to investigate the interplay between reader’s/viewer’s general knowledge and text. Stockwell (2002:78) points out that the bundle of information and features at every level of linguistic organization, from the meaning of individual words to the reading of entire texts, can be explained through schemas: ‘every literary genre, fictional episode, imagined character in narrated situations can all be understood as part of schematised knowledge negotiation’. Similarly, Bordwell (1992) provides the following example to show how the process of understanding film is more likely to draw upon ordinary, informal reasoning procedures: You are driving down the highway. You spot a car with a flat tire; a man just opening the car’s trunk. Wholly without conscious deliberation, you expect that he is the driver and that he will draw out a tool or a spare tire or both. If we imagine filming the very same activity, we need to draw on our knowledge about ‘driver changing flat tire’ to understand such a scene.¹

An important thread in studies on applying schema theories to literature and film is the claim that such texts tend to challenge and modify the reader’s/viewer’s existing schemas. This is consistent with the Russian Formalists’ (mainly Roman Jakobson’s) concept of ‘literariness’ (applied to literary works including film), in which the main common characteristic of texts is their ability to disrupt the ordinary application of schemas and their potential for causing schematic knowledge change (de Beaugrande, 1987; Cook, 1994; Semino, 1995; Stockwell, 2002; Semino, 1997). Formalists’ foregrounding or intentional divergence (deviance) from what usually happens is one of the stylistic devices through which reader’s/viewer’s general knowledge may be disrupted on different levels (Leech, 1985; Van Peer, 1986; Cook, 1994). Foregrounding takes place as a result of breaking norms or patterns such as linguistic, generic, and text-internal norms. Deviation occurs when the expectations that readers/viewers form – on the basis of their schematic knowledge – are disrupted. For example, we can discuss schema disruption in relation to viewers’ schematic knowledge of genre, as certain films deviate from generic norms and can hardly be categorised

¹ This does not mean that only real-world knowledge is relevant to understanding film. As is argued in 2.7, there are other types of schematic knowledge, such as viewers’ knowledge about film style and techniques which gives way to film comprehension.

within any known genres. Such films usually combine different characteristics of various genres, such as western, melodrama and musical, into a new context. Understanding such films, in terms of generic knowledge which constitutes viewers' expectations about film events and character is challenging, as they can hardly instantiate their generic schema with the textual cues (see section 2.7.3 and 2.7.4 for discussion of genre schema disruption).

Schematic disruption as a result of textual deviance poses a challenge to the readers'/viewers' existing knowledge and results in 'schema refreshment' (Semino, 2001). Semino (2001) redefines the notion of schema refreshment to include not only schema change, but also less dramatic and less permanent experiences such as connecting normally separate schemas in unusual ways in the light of new experiences¹ (p. 351). Schema refreshment may involve 'schema accretion' (Stockwell, 2002) when new facts are added to an existing schema and new connections are established between existing schemas (p. 79) or 'schema reformation' (Semino, 1995) when a schema is improved through retrieving existing schemas. In fact, schema reformation, or in Jeffries' (2001) words: schema affirmation, is a regular function of literary texts as readers/viewers find such texts satisfying because they reinforce readers'/viewers' worldview by reflecting their schematic knowledge. According to Cook (1994), radical schema disruption, which involves the destruction of old schema and the creation of new ones, or the establishment of new connections between existing schemas, is rare (p. 223). For instance, in the case of generic disruptions, it is likely that a schema accretion takes place, in a sense that new characteristics add to viewers' knowledge of each genre. Hence, by such schema accretion, a schematic knowledge of hybrid genre (a mixture of various generic characteristics) is developed.

In terms of schematic organization, narrative comprehension can be described in terms of the selection and instantiation or the configuration of relevant schemas which can successfully account for a certain narrative element. If readers/viewers lack a particular schema or fail to activate a schema for a particular input, they would be unable to make sense of the text. This is often true about schemas which are more culture based. For instance, an American viewer who is unfamiliar with Japanese traditions and lifestyle may fail to fully comprehend the full meaning of a scene

¹ Semino (2001) proposes a partial redefinition of 'schema refreshment', since she believes that actual schema change is not only rare but also hard to verify. In this sense, schema accretion and schema reformation can be considered as a variant of schema refreshment.

depicting a tea ceremony in a Japanese film, as they would be unlikely to have cognitive access to a pertinent schema with which to process such an input.

A similar concept to schema instantiation is schema activation, meaning that when textual cues give rise to or activate a particular schema. For instance, in the above example, the scene of Japanese tea ceremony functions as a textual cue. Schank and Abelson (1977) call the textual cues which cause the activation of relevant schema(s) ‘headers’ and categorise them into the following four types:

1. *Precondition headers* refer to a necessary precondition for the application of a schema. For example, *Jack was sick*.
2. *Instrumental headers* refer to actions that may lead to the activation of a particular schema, such as *Jack took a taxi to the hospital*.
3. *Locale headers* refer to locations where a schema is likely to be activated, such as *Jack got out of the taxi near the entrance door of the restaurant*.
4. *Internal conceptualisation headers* refer to actions or roles from a schema, for example, *Jack asks a nurse to guide him to a doctor*.

Schank and Abelson point out that there should be at least two headers to instantiate a schema (ibid., p. 49-50).

Having discussed the fundamentals of schema and its theoretical implications for text comprehension, the next section deals with prototype theory and categorization as the other strategy of knowledge organization. This discussion will be followed by an examination of how two theories of knowledge organization can be applied to social cognition.

2.5.2 Prototype theory

Prototype theory was developed in order to remedy particular shortcomings of the classical theory of categorization, which holds that categories can be defined in terms of a set of ‘necessary’ and ‘sufficient’ conditions (Frege, 1952; Collins and Quillian, 1969). In the classical theory of categorization, a member either meets these conditions and is therefore included within the relevant category or otherwise does not and is excluded from it. The classical theory has been criticized for its inherent problems, such as its difficulty to accommodate borderline cases (Eysenck and Keane, 1990:251-63). Further research on natural categories (Rosch, 1975, 1977, 1978; Rosch

and Marvis, 1975; Rosch et al., 1976) shows that categories are organized in terms of similarity to their ‘prototype’, that is ‘the central tendency or average of the category members’ (Fiske and Taylor, 1991:106). This means that an instance is considered to be a member of a specific category according to its degree of ‘similarity’ to the prototype exemplar or ‘family resemblance’ (Lakoff, 1987). The prototypical approach to categories advocates ‘category fuzziness’ (ibid.) and it follows that there are no clear-cut boundaries between category members (Fiske and Taylor, 1991:106-107), and consequently, members can slide into other categories. For example, categories such as mug, cup and bowl may not be separated by strict and clear-cut category boundaries and they seem to fade into each other – with mugs being labelled cups and *vice versa*.

Prototype theory also holds that categories are organized ‘hierarchically’ at varying levels of ‘inclusion’ (Rosch et al., 1976). Accordingly, three different hierarchies are proposed within a single category: *superordinate*, *basic*, and *subordinate*. The basic level, which involves ‘intermediate attributes/categories’ is the optimal level for cognitive activity as it is rich in the attributes people associate with objects and people. Intermediate categories are easily distinguished from related categories and involve well-practised everyday behaviours (Fiske and Taylor, 1991:107).

Similarly to schema theory, the main tenets of prototype theory can be applied to the discussion of social categories (i.e. categories of knowledge about people). The next section deals with how information-organization strategies and schemas and categories can be exploited in understanding people, and consequently, how social categories and schemas are employed by viewers/readers in forming impressions of people and characters.

2.5.3 Application to social perception: social categories & social schemas

Just as we categorise different kinds of objects and activities, we can also categorise different types of people (Cantor and Mischel, 1979; Rumelhart, 1984; Brewer, 1988; Fiske and Neuberg, 1990; Fiske and Taylor, 1991:105-109)¹. Concerning

¹ In spite of the claim that categorization rules are applicable to social categories, there are some differences between social categories and non-social (inanimate) categories. Drawing on Lingle et al. (1984) and Fiske and Taylor (1990:107-112) three major differences between non-social and social categories are outlined:

the applicability of natural categories to social ones, Cantor and Mischel (1979:8) point out that while people certainly differ from objects, the categorization rules and conceptual structures used in person and object perception may not be fundamentally different. Accordingly, social categories can also be delineated on the basis of prototypicality, fuzziness, and hierarchical organization.

Person categories, like object categories, operate at varying levels of inclusiveness (Fiske and Taylor, 1991:106). A classic example of such application is Cantor and Mischel's (1979:16) specification of levels of inclusiveness for a committed religious person: the basic level (such as religious devotee or social activist) and the subordinate level (such as Buddhist monk, Catholic nun, Hasidic Jew or save-the-whale campaigner). Accordingly, attributes are inherited from upper levels by lower levels, so that a committed person's attributes are also true about a more specific religious devotee's – the qualities of a Buddhist monk, for example.

People tend to perceive others as members of social groups rather than individuals. On this basis, Culpeper (2001:75-76) proposes three main social groups according to the types of characteristics that distinguish them and which are viewed as having prototype effects:

1. *Personal categories* include knowledge about people's preferences and interests (Italian food), habits (late for meetings), traits (shy, outgoing) and goals (to help someone). Although these features are idiosyncratic, they can form a basis for grouping people (for example, people who are extrovert, shy or disorganised). While preferences, habits and traits are cross-situational tendencies, goals tend to be powerful predictors of a person's behaviour in a particular setting.
2. *Social role categories* include knowledge about people's social functions such as kinship roles (family relationship such as parental), occupational roles (doctor, waiter, nun), relational roles (kinship roles such as parents, and friends, parents,

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- Social categories are highly variable in structure, in other words, they are messier than non-social categories: 'If people are indeed more variable, changeable, complex, subtle, and uncontrollable than objects, then it makes sense for social categories to be more flexible than non-social categories.
 - Social categories are usually made up of abstract attributes (e.g. intentions and traits, which cannot be observed, but have to be inferred.
 - Social categories are formed in terms of ideals or extremes. That is the best example of a priest may be the ideal priest, rather than an average one.
 - Social categories are highly sensitive to context.

classmates, colleagues). Culpeper (2001:75-76) argues that the primacy of role categories places the perceiver in a strong position to make inferences about other aspects of a textual character.

Group membership categories include knowledge about social groups such as sex, age, race, nationality, religion, etc. Such categories are linked to salient appearance cues and are called *primitive categories* as they are relatively automatically and universally perceived (Brewer, 1988; Fiske and Taylor, 1991:121-122).

Culpeper's three main social categories appear to be consistent with Rosch et al.'s (1975,1976) three-level hierarchy of social categories, consisting of group membership as the superordinate level, social role categories as the basic level, and person categories as the subordinate level. This also supports the psychological primacy of role categories with the basic level as the optimal cognitive one: for instance, knowing someone's job is a frequently used and primary way of making other inferences about them.

On the context sensitivity of social categories, Fiske and Taylor (1991:109) argue that person and situation are closely related and a prototypical member of a social category – for example a religious devotee – exhibits the typical attributes (they may pray a lot) 'with particular intensity and consistency in the appropriate situations' (church), as 'one can most easily imagine a religious devotee in a specific situation (e.g. at a worship service, visiting a shrine, or working in charity). This premise is also consistent with the present study's claim on the connection of character and context (see 2.3.1). The setting (as an expressive character indicator) in which characters (as members of different social categories) appear, contributes to their creation and formation and implies their emotional and socioeconomic status. Film viewers tend to associate certain context choices with particular types of character and *vice versa* and generate schematic expectations about the characters in specific situations.

However, studies on social schema (Hastie 1981; Brewer et al., 1981; Fiske and Taylor, 1991; Taylor, 1981) propose alternative typologies which show the plausibility and arbitrariness of social schemas' typologies. Social schemas, as Culpeper (2001:79) describes, are 'high-level cognitive structures [that] contain links between social categories' (p. 79). This means that when a category is activated, the network of which it is a part is activated too. When we categorise a person as female, the sex-linked attributes which constitute the gender schema are also activated. Consequently, the

gender schema, as a social cognitive construct, helps us make further assumptions about the person in question such as tenderness or emotionality.

Fiske and Taylor (1991) argue that an individual's observable physical features are prominent expressive indicators as they usually override the stereotypical features of the category to which they belong:

Physical features [especially group membership features] may have priority over other features in cuing social schemata and may act like schematic labels. For example, once a person is categorised as black or white, male or female, young or old, the stereotypic content of the schema is likely to apply regardless of how much or how little the person looks like the typical category member, which indicates his/her group membership (p. 121-122).

Research on social schemas is closely related to social stereotypes (Fiske and Taylor, 1991; Hamilton and Sherman, 1994; Anderson et al., 1990). Fiske and Taylor (1991:119) define stereotypes as particular types of (social) 'role schemas', which 'organize people's expectations about other people who fall into social categories'. Anderson et al. (1990:192) suggest that social stereotypes are 'widely shared assumptions about certain types of people that are cognitively extensive, well-organized categories or schemata'. Emphasizing the schematic structure of stereotypes, Hamilton and Sherman (1994:15) consider stereotypes as 'a set of beliefs which are stored in memory as cognitive structures and influence the subsequent perception of, and behaviours toward, that group or member'. A person, at the first encounter, tends to be categorised based on his/her similarity to these central features or attributes. 'Stereotype' and 'social schema' can be used interchangeably, as according to Hamilton and Sherman (1994:31), both imply 'central tendency' to the average features of members of a particular social category and both characterize a group as sharing particular characteristics which enable us to organize our expectations and help us make our inferences.

2.6 Approaches to impression formation

Social categories and social schemas are not simply vague cognitive constructs. Formed as we encounter new people, they are exploited as raw materials in the process of impression formation. Concerning social cognition, and specifically, person

perception, Zebrowitz (1990) assumes that two alternatives as two extreme ends of a scale are distinguishable, each of which explains one strategy of social perception:

1. 'Constructivist models' or 'theory-driven approaches' that emphasise top-down processing and maintain that impressions are formed based on the perceivers' existing social schemas or stereotypes.
2. 'Structuralist models' or fully 'attribute-oriented approaches', which emphasise bottom-up or data-driven processes. Such models assume that impressions are formed based on the perceiver's social category schema relating to a person's individual attributes. In these models, the emphasis is placed on specific textual cues.

Thus, these models' schematic (top-down) and categorical (bottom-up) approaches place them in complete isolation from each other. However, more recent trends in impression formation models, notably Fiske and Neuberg (1990), have tried to combine the social category membership and the stereotypic characteristics of social schema together with individual attributes of a target person in a processing model. In such models, impression is settled between fully bottom-up, category-based and fully top-down, individuating impressions. Fiske and Neuberg's (1990) continuum model of impression formation integrates both cognitive processes – in which towards one end are category-based and stereotypic processes that use a target category membership – and towards the other end, are the individuating processes that target particular attributes of a character. Fiske and Neuberg's (1990) continuum implies that the distinction between these two processes is a matter of degree and the model gives priority to category-based processes over attribute-oriented ones as 'perceivers attempt category-based impression formation before they use more attribute-oriented impression formation' (p. 2). If category-oriented processes do not fit or suffice to form an impression of a target person, perceivers move forward and pay more attention to the individual's attributes to form an encompassing, gestalt impression. Fiske and Neuberg (1990:6-8) suggest four stages on the continuum from category-based to person-based impression:

1. The initial categorization stage occurs immediately upon encountering an individual. It includes 'primitive categories' and accomplishes categorization according

to ‘visually prominent physical features’¹ (Fiske and Taylor, 1991:121, see also 2.5.3). A target person’s physical appearance often cues stereotypes. Fiske and Neuberg (1990) also believe that ‘many of the most pervasive social categories (e.g. race, age, class) are functions of easily perceived physical features’ (p. 121).

2. If the information fits the initial categorization, the perceiver retains the initial categorization, and then ‘confirmatory categorization’ may happen.
3. When the information does not confirm the initial categorization, ‘recategorization’ occurs which attempts to find a new category or subcategory.
4. When the information gathered about a particular individual does not meaningfully fit any category or when the perceiver cannot meaningfully categorise an individual according to stereotypes, ‘piecemeal integration’ occurs. As the most individualizing stage, this involves adding up the target person’s characteristics in order to form an impression of them.

In Fiske and Neuberg’s (1990) continuum model, the perceiver can continuously loop back to the beginning of the impression-formation process until they decide that no more assessment is needed. This model was originally proposed to describe impression formation in real-life people, however, it can, to some extent, be applied to fictional characters based on the present study’s initial argument that there is a great resemblance between the cognitive processes associated with our impression formation of real people and fictional characters

2.6.1 Impression formation of fictional characters

First impressions of characters are guided by the cognitive model offered by social categories and social schemas. This social knowledge, once activated, offers a ‘scaffolding for incoming character information’ (Culpeper, 2001:86). So, our

¹ Fiske and Taylor (1991:121) also argue that the features indicating race, sex, and the like allow people to sort others into categories more rapidly than they could otherwise. Because they are physically perceptible and culturally meaningful, physical features have priority over other features.

knowledge about real-life people and the process through which we understand them is the primary source of insight in understanding characters. This means that social categories (personal, social roles, and group membership) form the basis of our first impressions of characters. People begin to categorise (social) instances in order to apply the relevant schemas. In other words, the process of categorization is followed by applying social schemas to the social categories.

Fiske and Neuberg's (1991) model is highly consistent with Forster's (1987) 'flat' and 'round' character distinction. *Flat* characters are constructed around a single idea or quality and are easily recognizable. Because of their simplicity, the viewer's impression of such characters is formed at the initial stages of the impression formation model. Visual attributes together with their plain pragmalinguistic behaviour help viewer to group them in related social categories and then apply the relevant social schema (stereotypes). Categorising *round* characters is much more complicated due to their complex and sometimes paradoxical attributes – viewers must attend to characters' individual traits rather than their group membership attributes in order to make impressions. They may need to place a *round* character down at the other end of the continuum – that of attribute-oriented impressions.

Here, an important issue must be addressed with regard to the discrete categories assigned to Foster's flat/round characters: it is impossible to draw a line and place a particular character at one extreme of the continuum. Culpeper (2001:56) suggests that the distinction between flat/round characters is better if conceived as a sliding scale which allows for 'more subtle gradation of characters'. From this view, factors such as 'complexity, change, conflict and inner life' are associated with a character's roundness. Understanding such dimensions requires perceivers to pay attention to subtle personal traits in order to make an attribute-based impression. Against roundness, flatness is associated with the opposite of these factors: 'simplicity, stasis, immunity from conflict, and external life'. Accordingly, the first two stages of this continuum (categorization and recategorization) are sufficient to make impressions about flat characters.

Another dimension of round/flat characters is the notion of staticism/change. According to Culpeper (2001), flat characters, as easy-to-categorise characters, imply a lack of change although the piecemeal integration of individualised characters *does* imply change (p. 94).

From the schema theory viewpoint, the dimension of a character's staticism/change is also related to Cook's (1994) and Jeffries' (2001) proposal that

literary texts are primarily distinguished by their schema refreshing/changing function. Regarding characterization, according to Culpeper (2001:94), flat characters are typically schema reinforcing, meaning that they strengthen viewers' schema whereas round characters are typically schema refreshing, meaning that they cause schema disruption. So, it can be claimed that round characters are typically a feature of literary texts as they often provide sufficient space for character development.

Nonetheless, it should be noted that fictional characters are distinguished by some 'fiction-like idiosyncrasy' (Harvey, 1965, cited in Culpeper, 2001), meaning that dramatic characters are distorted prototypically, so they do not exhibit prototypical behaviour related to the particular social category of the role they are acting out. Such a claim can be confirmed by Abbas Kiarostami's words in an interview (1997). He believes that the non-prototypicality of characters is significant for film narrative and suggests that the extraordinariness of fictional characters is a director's inherent necessity:

It is said that my characters are all abnormal and they deviate from the norms in some way, from the child in the movie *the Traveller*, to Mr Sabzian in *Close-up* [...]. I realized that unintentionally I draw to non-prototypical people. But this is not just my case. Since we cannot put every ordinary person in front of the camera. We have to look for special people or ordinary people in special circumstances.

Kiarostami's account is also related to Culpeper's conviction that characters are perceived as exaggerated prototypes if they fail to exhibit contextually sensitive behaviour or they simply appear in situations where they are not expected (2001:89). The effect of exaggerating the prototypicality of the characters in some genres, such as comedy, can create dramatic effect and humour.

With regard to RQ 6 concerning the plausible cognitive process of model viewers' overall impression of characters, the continuum of impression formation theoretically related to their social plane. In other words, viewers' plausible understanding of the characters' social aspects (including their social roles, relations and attributes) is achieved by means of social schemas, social categories and their activation in the continuum of impression formation. However, the overall impression of character is also contingent to understanding the pragmalinguistic and cinematic aspects by means of pragmalinguistic and film schemas, which – together with social aspects – result in the formation of an overall impression.

As discussed in the introduction, the first plane of this research's suggested model for character impression formation entails social knowledge in terms of social schemas (stereotypes). The second plane deals with the medium-specific elements; the knowledge of film style and techniques which cognitively accumulate in the course of viewer's encounters with a variety of films. The next section deals with film schema and its components.

2.7 Film schema

The perception of any artistic form arises from the interplay between cues within the text and readers'/viewers' prior knowledge. The viewers' ability to spot textual cues, and create expectations about the components of the text world, particularly events and characters, is guided by their real-life experience and the knowledge of formal norms and conventions of the medium. A particular film's style and techniques, including aspects of *mise-en-scène* (setting, lighting, costume and make up), cinematography (camera works and effects), genre as organizing thematic and aesthetic criteria, narrative, as the context in which characters are created and developed, are the essential formal conventions by which film communicates and creates meaning.

Bordwell and Thompson (2008) believe in the necessity of medium knowledge in understanding any artworks – including film. In this research, viewer's knowledge of cinematic artwork is formulated as 'film schema' and refers to their awareness of film narrative, stylistic and generic conventions and their ability to employ them logically and coherently in order to arrive at a gestalt comprehension. Yet, this knowledge of cinematic style and techniques is not motivated by a formal cinematic education: it is acquired through viewers' encounters with different films. In other words, film knowledge can be conceptualised as a viewer's literacy of cinematic norms and conventions structured in the form of schemas in their long-term memory. Film schemas, as Bordwell (1985) points out, are derived from viewer's transactions with the everyday world, with other artworks and other films: 'everything from recognising objects and understanding dialogue to comprehending the film's overall story utilizes previous knowledge' (p. 32). As the term schema indicates, viewer's knowledge of film style and techniques has a schematic nature, which allows it to be flexible, meaning that it can be created, developed and refreshed in the course of their encounters with films.

Cognitivist film theory, which is centred on the notion of cognition and the cognitive processes involved in the acquisition, organization and use of knowledge, pays specific attention to viewers' schemas and the significant role they play in the cognitive processes related to film comprehension (Bordwell, 1985). As discussed in 1.5.2, cognitivist film theory posits that the viewer is 'active' in the course of watching film: they execute cognitive and constructing activities on film text in order to comprehend it.

Further, Bordwell (1985) develops a theory within the constructivist school of cognitive psychology, which according to Buckland (2000:29) refers to perceivers 'generating hypotheses and inferences' in order to make sense of inherently fragmentary and incomplete perceptual input. Here, Bordwell's (1985) main concern is the cognitive procedures that allow active viewers to generate inferences about film screened before them and then verify or reject these on the basis of textual cues. He believes that cues in narrative film are organized in such a way as to encourage viewers to construct their own subjective story about the events they see played out before them. The film presents cues, patterns and gaps that shape the viewer's application of schemas and push them to test their hypotheses (*ibid.*, p. 33). In all viewers' cognitive activity, film schemas, as organized clusters of film knowledge, guide the comprehension and viewers frame and test expectations about the upcoming story information with these schemas.

Similarly, in his film comprehension model, Bordwell (1985) also asserts that the cognitive process of film comprehension entails the activation of different schemas. He proposes a typology of film schemas which serve to encode the incoming information and allow viewers to make inferences about narrative film elements, namely 'prototype schema', 'template schema', 'stylistic schema', and 'procedural schema' (p. 32-37).

The present research, in a modified version of Bordwell's (1985) typology of film schemas, proposes a classification of four schemas or sub-schemas: (i) narrative, (ii) stylistic, (iii) genre, and (iv) procedural schema, as the essential schemas required for understanding film. Each of these can be considered as a separate schema or, alternatively, as a subtype of general film schema. In this research, these schemas are treated as separate entities.

2.7.1 Narrative schema

A film viewer tends to presuppose a particular master schema as a framework of understanding that is an abstraction of narrative structure and which embodies typical expectations about how to classify events (Bordwell, 1985; Branigan, 1992). Research on narrative schema, as the reader's knowledge of a typical narrative structure, has gained recognition with literary critics and theorists (Propp, 1968; Greimas, 1966; Todorov, 1971), anthropologists (Levi Strauss, 1968, 1977) and linguists (Labov, 1972, and Labov and Waletzky, 1967). In his seminal research, Labov (1972) investigated narrative patterns in the everyday conversations of inner-city, minority groups. In Artificial Intelligence and Psychology, Rumelhart (1975) proposes that like sentences, narratives are also composed of discrete, structurally-connected units. Thorndyke (1977) uses the term 'story grammar' and defines it as involving 'underlying structural elements' which are common to a class of narrative discourse (p. 78). Research on reader's awareness of typical text structure holds that narrative discourse is comprehended, remembered and recalled with the aid of an abstract structural schema, a concept which has been adapted by other researchers under a variety of terms including 'surrogate structure' (Pompi and Lachman, 1967), and 'macro structure' or 'superstructure' (van Dijk and Kintsch, 1983; Bower, 1976; Labov, 1972).

Cognitive stylistics research on narrative comprehension admits that regardless of the medium by which the narrative is conveyed, narratives have a conventional structure with components which all develop a canonical narrative schema that is the implicit knowledge of narrative structure (Emmott, 1997; Jeffries, 2001; Stockwell, 2003; Emmott, Alexander and Marszalek, 2014). Emmott (1997) emphasises the reader's awareness of typical text structure and asserts that text knowledge plays an important role in the formation, tracking, and utilization of 'text-specific' representations of character and contexts.

Alternative models of narrative macro-structure have been proposed (e.g. Labov and Waletzky, 1967; Branigan, 1992) among which, Labov and Waletzky's (1967) template is considered the essential model for defining and analysing narrative via six functional stages or categories: *abstract*, *orientation*, *complicating action*, *evaluation*, *resolution* and *coda*. Branigan (1992) expands Labov and Waletzky's (1967) model and proposes a narrative schema with eight recursive components (functions), which may be

repeated in various patterns to model a reader's/viewer's understanding of a given story. Branigan's (1992:18) proposed narrative schema contains the following components:

Abstract: a title or compact summary of the situation which is to follow.

Orientation: a description of the present state of affairs (place, time, character).

Initiating event(s): (an) event(s) which alter(s) the present state of affairs.

Goal: a statement of intention or an emotional response to an initiating event by a protagonist.

Complicating action: (an) action(s) arise(s) as a consequence of the initiating event and present(s) an obstacle to the attainment of the goal.

Climax and resolution: the situation in which the conflict between goals and obstacles is ended and a new equilibrium is established.

Epilogue: the moral lesson implicit in the history of the events and may include explicit character reactions to the resolution.

He also adds the element of *narration* to his model and defines it as 'a constantly active component which seeks to justify the arrangement of narrative elements' (1992:18). In all suggested models of narrative schema, the complicating action is essentially the core category, without which there can be no transformation and its absence disqualifies any story from being called a narrative (Lambrou, 2007). The components of the narrative schema are slots, which become instantiated with the specific contents of the particular narrative in question. In fact, narrative comprehension involves the continuous generation of expectations about what might be coming next and its place in narrative schema. Viewers strive to create logical connections among what they see in order to match the general categories of the narrative schema, and hence to understand the narrative.

Narrative schema helps viewers comprehend typical narratives which follow a canonical narrative structure. The schematic function of a narrative structure enables viewers to understand a story which deviates from the canonical narrative by filling the gaps. This is because the basic structural principles continue to serve as a 'reference point' for 'the identification of less intelligible narratives' (Bordwell, 1985:35). For example, when particular causal connections are omitted, viewers tend to supply them by drawing on the implicit abstract knowledge of narrative schema that they already have in their mind.

In terms of narrative schema, viewers can predict complications or resolutions. For instance, following a character's introduction and orientation, viewers expect some

form of problem will present itself to engage them. On the anticipatory power of narrative schema, Emmott (1997) suggests that the knowledge of narrative structure enables readers/viewers to anticipate complications or resolutions, depending on the stage that has been reached in the action. She (1997) also highlights the suspense-increasing function of narrative schema and points out that narrative schema can ‘enable the reader [as well as viewer] to judge that a character is going into danger before a character is aware of the upcoming danger, hence increasing suspense’ (ibid., p. 34).

2.7.2 Film style and technique schema

Film viewers have implicit, unconscious knowledge of film style and techniques or, as Bordwell (1985:36) puts it, ‘unnoticed’ knowledge. Film style may encompass various aspects of film techniques such as cinematography (angle, level, height and distance of framing), *mise-en-scène* (lighting, setting, costume, make-up) and editing as the relation of shot to shot. Through such stylistic devices and techniques, the medium conveys the narrative and, as Bordwell (1985) points out, ‘guides expectation, or furnishes motifs, clarifies and emphasizes meaning and shapes spectator’s emotional response’. For example, as discussed in 2.3.1, by using a range of shots created by different camera positions, distances, angles and levels, film can develop various types of framing, such as CU, MS and LS, each of which fulfils specific effects and functions. For example, CUSs are usually used to portray emotions, while ELSs have descriptive functions.

On the basis of film style schema acquired from encountering different films, viewers assume that certain stylistic choices will be adhered to in film genres. In his account of film noir stylistics, Schrader (1996:235) points out that it draws on a ‘reservoir of film techniques’ which may appear and are repeated in different film noir: for example, featuring oblique and vertical lines rather than horizontal ones where obliquity adheres to the choreography of the city, employing compositional tension rather than physical action (a typical film noir moves the scene cinematographically around the character rather than have the character control the scene by physical action) are archetypal stylistic choices used in film noir (p. 235-237).

A fundamental aspect of film style schema is ‘editing devices’ such as cuts, dissolves and fades. According to Metz (1974), films offer different recurring editing

devices admitting the same understanding of time and space (p. 128-129). For instance, in ‘crosscutting’, ‘two or more lines of action in different locale are woven together which creates some special discontinuity, but it binds the action together by creating a sense of cause and effect and simultaneous time’ (Bordwell, 2008:248). A famous example is the crosscutting editing in Francis Ford Coppola’s *Godfather* (1972), where the mafia boss, Michael Corleone is seen in church while his son is being baptized. Suddenly, the image track begins crosscutting alternatively between different locations showing the godfather’s henchmen shooting Corleone’s rivals. The church music playing during the church scenes is subsequently heard throughout the rest of both church and murder scenes which supports the inference that these two events are happening simultaneously. Accordingly, viewers understand that *while* Michael Corleone is in church, his rivals are being killed.

The stylistic conventions of mainstream films or classical Hollywood cinema may provide a basis for reinforcing viewers’ film style schema. Many films, particularly genre films, appear to exploit cinematic style and techniques in ways that conform to viewers’ expectations. Particular film genres which employ more complex and non-conventional style and techniques such as art films (which use ambiguous and non-motivated stylistics devices) and *auteur* films (in which filmmakers create a distinctive formal and stylistic system of their own by using particular technical choices or style) drive viewers to construct stylistic expectations to which they are unaccustomed. This may cause viewers to experience particular schematic disruptions (see 1.4 and for further discussion on art film and *auteur* film see Appendix 1) .

2.7.3 Genre schema

The components of film narrative, including characters and events, are integrated into ‘a context of situation and of culture’ (Toolan, 2009:5). Genre has been defined using different criteria across various disciplines. For example, Ryall (1975) describes genre as an organizing criterion of artworks and asserts that genres are ‘patterns, forms, styles and structures, which transcend individual art products, and which supervises both their construction by artist and their reading by audience’ (p. 28). Further, Lacey (2000) considers genre as a useful concept in media analysis and defines it as a classifying approach that appears in different media such as literature, television

and film. This means that, for instance, it is highly likely that a science fiction (SF) film is made differently from the science fiction book from which it is adapted due to medium-specific devices and the essential characteristics of the medium in terms of how plot and character are developed.

Within film, genres are more than just simple categories: they consist of specific systems of expectation and hypothesis that viewers bring with them, and, through which they cognitively interact with the on-screen images while watching. Addressing the significant role that genre plays in viewers' anticipation and assumption, Neal (1980) asserts that '[genres] provide spectators with a means of recognition and understanding. They offer a way of working out the significance of what is happening on the screen' (p.161). Film viewers engage in making predictions based on the cues offered by film text and ground these on genre-generated expectations. Once a text is identified as belonging to a particular genre, viewers activate their expectations about what will happen in the narrative world. The viewers' body of expectation and hypothesis about particular aspects of film – including narrative, style, characters, costume, make-up etc. – is associated with 'genre schema': part of viewers' prior knowledge of film. Taking a cognitive-constructive approach to genre, Lacey (2000) maintains that genre schema is 'the repertoire of elements' repeated in different films that belong to a specific genre and mainly consists of the characters, setting(s), iconography, narrative and style of a text (p. 133). All these visual or thematic motifs offer the basic schema of genre.

Turning now to character, when a viewer recognises the genre of the film they are watching, this activates a set of dramatic roles tied to the characters commonly associated with the particular genre. In some genres, characters with determined functions or dramatic roles can be classed as archetypal or stereotypical. Take for instance, the figure of the *femme fatale* in film noir; the cowboy dressed in western attire and highly competent at horse riding; the dishonest, evil antagonist; the decent, blonde, dependent, female heroine who is in love with the protagonist: these represent stereotypical characters found in westerns which are repeated in different films of this genre. Drawing on their genre schema, viewers expect films to conform to specific conventions in terms of plot elements (for example, viewers anticipate a musical to involve song and dance scenes), theme (for instance, a common theme of the gangster film genre is the price of criminal success, with the gangster's rise to power portrayed as a hardening into egoism), film techniques (for example, the action film often relies

on rapid cutting and slow-motion violence), and iconography (for instance, the war film takes place in battle-scarred landscapes).

Further, filmmaker(s) may devise mildly or radically different genres by blending the conventions of a particular genre with those of (an)other genre(s) and coin a cross-genre or hybrid-genre, such as action-comedy, dramedy (drama and comedy), dark fantasy (horror and fantasy) and so on. *The Big Lebowski* (1998) is an example of blending elements and conventions of different genres including film noir, comedy, crime, western and porn and bringing them all in a hybrid ensemble. The musical dramedy *Beloved* (2011) is another example of combining the elements of musical, drama and comedy genres in a new context. It is set in the 1960s through the 2000s in five cities (Paris, Rheims, Montreal, Prague and London). And, although the characters use musical dialogue throughout, it is not considered to be a musical because it fails to reference common elements of the genre – most importantly songs interwoven into the narratives which are usually sung by characters and accompanied by dance that advance the plot (Altman, 1999). The film's generic deviations may cause schema disruption and change the viewers' existing genre-generated expectations of musicals (for schema disruption see 2.5.1).

Thus, by drawing on genre schema, films are immediately identified in terms of their recurrent elements. Particular genres, such as film noir, SF fiction and western are more easily recognizable in terms of their iconographic features. Others, such as melodrama, have less determined generic elements. This is mainly because, as Piazza (2011:16) points out, over the past two decades film theory has developed as a tool for understanding popular or mainstream cinema, complementing and counterbalancing the other forms of film study such as the *auteur* approach 'developed to reconsider those Hollywood directors, who, despite the constraints of the studio system, were able to instil a personal style into their works' (Schatz, 1981:8, in Piazza, 2011:16). Accordingly, films which constitute themselves as *auteur* films (the works of filmmakers known as *auteurs*) and also art films – as independent films which are made primarily for aesthetic reasons and contain unconventional or highly symbolic content, with formal qualities that mark them as different from mainstream Hollywood films – are less genre-based (see 1.4 and Appendix 1 for a detailed discussion on art and *auteur* film). Accordingly, viewers find it difficult to retrieve the generic qualities in art films and auteur films as they often deviate from accepted genre conventions. This disruption to the way viewers cognitively process genre schema cues can make films of this type

difficult to understand.

2.7.4 Procedural Schema

Procedural schema contains ‘operational protocols’ which may help the viewer comprehend a film when its narrative, stylistic and genre schemas are inadequate. The search for information and framing inferences follows ‘some conventions by which viewers justify textual elements’ (Bordwell, 1985:37). However, there are some situations in which viewers encounter a textual cue in a film that does not fit within their film narrative, stylistic or genre schemas. In such cases, viewers justify such elements in terms of the ‘motivations’ which the film text offers by generating hypothesis derived from procedural-schema. Bordwell (1985:37-38) distinguishes four motivational attributes, namely, ‘compositional’, ‘realistic’, ‘transtextual’, and ‘artistic’. Bordwell’s transtextual motivation corresponds to what in this research is classified as a separate category and termed ‘genre schema’. Categorizing genre schema as a separate schema is mainly because genre, as ‘the most prominent kind of schema, informs our reading of a narrative text’ (Toolan, 2009:5).

Further, where a film component deviates from viewer’s narrative and genre schema, they can find recourse by calling on specific motivational attributes/qualities. In other words, viewers may seek to gain understanding by justifying the anomalous element either *artistically*, *realistically* or *compositionally*. For instance, viewers may attempt to rationalise a spacecraft explosion in a SF film by drawing on different motivations: *compositionally* by raising the hypothesis that the film narrative needs a climactic ending; *realistically* by holding that the scientific calculations do not work out as the astronaut expects; or *artistically* that the spacecraft explosion choreography may have fascinated the director. Viewers who are accustomed to the stylistic, generic and narrative traditions of mainstream film may draw on procedural schema to comprehend other less conventional stylistic options (Bordwell, 1985:37). However, there are moments in films in which none of the artistic, compositional and realistic justifications/motivations is adequate to enable a clear understanding. This may take place when unusual and/or seemingly anomalous information is presented in the film text which initially may not seem related to the story context, as in the case of LSs or ELSs or bird’s-eye views of cities at the beginning of an opening sequence. Magliano et

al. (1996:219) assert viewers can explain such anomalous information by generating a ‘causal explanatory reasoning’ or ‘explanation-based inferences’ that connects it with the prior (or future) story context. This means that viewers tend to motivate anomalous information by reasoning or explaining it. Such account is also consistent with Bordwell’s (1985) artistic, generic, compositional and realistic justification explanation, as in both cases viewers try to comprehend the anomalous element by motivating and explaining it in different ways. For instance, in a scene in François Truffaut’s *The Woman Next Door* (1981) we see a man driving fast in a car, which is not related to past scenes, but to future events. A few scenes later we understand that he was heading home although, at that very instant, we found that we were unable to explain this event. Viewers tend to motivate such hard-to-understand scenes in different ways. For instance, they may generate a prediction in order to determine the relevance of incongruous scenes in terms of future events: they might hypothesise that ‘what the man is really doing or where he is really heading is probably going to be revealed in the next scene’, for example. Accordingly, by employing justification, motivation or explanation, viewers can determine the consequences of new information.

In the current study, viewers’ explanation, motivation and reasoning are categorised under the general rubric of ‘procedural schema’, on which they may draw when they feel unable to understand particular elements of film at different levels, including characters, narrative and film style and technique.

2.8 Summary

This chapter was concerned with viewer's general knowledge of the world, its structure and its representation in film comprehension. The chapter argued that in order to understand film characters, viewers may draw on their prior knowledge in form of various schemas.

A cognitive model was suggested which argues the general knowledge for understanding film characters and making impressions about them consists of three planes: namely social schema, film schema and pragmalinguistic schema. This chapter particularly focused on the first two cognitive planes, social and film schemas, their specifications, and how they are utilized in forming impressions about characters. The pragmalinguistic knowledge, as the third plane, is discussed in the next chapter.

This chapter started with a critical review of literary criticism theories with regard to character and how they approach it. Having recognized the 'humanizing' and 'dehumanizing' approaches as too extremist, following Culpeper's (2001) mixed approach, this research posits the interdependence and interrelation of character and plot. This means characters can be regarded, comprehended and interpreted in terms of social cognitive theories which were originally devised for comprehension of real-life people. Believing in the human-like nature of characters allows us to make use of such real-people-focused social cognitive theories to comprehend characters in film. However, this chapter also acknowledged that characters are also the product of plot and hence, they are fictional. It discussed how characters are created, presented and developed in film by means of multimodal devices. A toolkit was also suggested for character creation in film, which takes into account film-specific style and techniques.

The structure of viewer's general knowledge about the world – categories and schemas and their related theories, prototype theory and schema theory, respectively – was discussed, followed by a description of the approaches to impression formation. The specifications of Fiske and Neuberg's (1990) continuum model for impression formation were discussed, which takes into account both schematic (top-down) and categorization (bottom-up) processes. This impression formation model is used as the model (at social level) in the present study.

Following the present study's research assumption that film is indeed a multimodal medium, film text involves a specific structure of narrative elements and a stylistic system of its own. To understand character – as the fabricated entities in the fictional text of film – the viewer's prior knowledge should involve the knowledge of film style and techniques. Film knowledge, as another type of prior knowledge, is cognitively accumulated in the course of viewers' encounters with films. The viewers' film schema was described as having four (sub)schemas including narrative, genre, style and procedural schemas. Viewers' film schemas are activated by film textual cues as they watch.

3. Schematic knowledge in character impression formation. Part two: Pragmalinguistic knowledge

3.1 Introduction

The previous chapter discussed the preliminaries of the cognitive process of character impression formation in narrative film. Chapter 2 argued that differently from characterization in narrative fiction, film characters are created by means of medium-specific devices which must be taken into account in any suggested cognitive model of film comprehension. Further, it argued that viewers form impressions of characters as a result of the interplay between different types of prior knowledge including social schema, film schema, and pragmalinguistic schema, and textual cues in film. Moving on to the present chapter, we now deal with the third plane, *pragmalinguistic* knowledge: a source of knowledge formulated in the first aim of the present research (see 1.3.) This chapter tackles RQ 4 which addresses the role of characters' pragmalinguistic behaviour – particularly SAs – in how viewers cognise and develop an understanding of character, as well as both parts of RQ 5 on the significance of SAs in understanding different types of non-prototypical and non-verbal SAs (see 1.3).

As discussed in 2.1, pragmalinguistic knowledge concerns an individual's knowledge of language – and especially language in context – and includes specific linguistic codes, grammatical and phonological aspects of language as well as the semantic and pragmatic factors, as the implicit knowledge required for meaning-making in different contextual interactions (also see Kasher and Kasher, 1976:77-78). Here, it is pertinent to mention that the current research legitimates the application of linguistic and pragmatic theories to film discourse (see 1.5.3). Thus, within such a framework, stylistics studies on character identity and characterization may employ linguistic and pragmatic theories originally formulated for real-life conversations.

The primary premise of pragmalinguistic knowledge and its implication in a pragmastylistic analysis of film and characterization, is that film dialogues contribute to viewer comprehension as well as to characterization. Characters' pragmalinguistic behaviour encourages viewers to make particular impressions about them. Apart from establishing the plot and the fictional world of the narrative, film dialogues serve a variety of other functions – among which 'character revelation' is of the most important

(Kozloff, 2000). Moreover, film dialogues construct characters' identity and their interpersonal relations (Bubel, 2011). Similarly to every-day communication in which people develop impressions of others on the basis of their linguistic behaviour, film characters' linguistic and communicative patterns construct characters' identity along with other semiotic and multimodal resources used to present characters. Lakoff (1990) highlights the pivotal role of language in identity construction:

Language is an intrinsic component of personality. Linguistic style is an outgrowth of psychological style, and a diagnostic of it as well. We assume that the way people talk tells us the truth about them (p. 257).

Similarly, a significant part of viewers' experience, judgment and impressions concerning characters' identity is made up of their linguistic behaviour. Characters' 'individual linguistic thumbprints' (Culpeper, 2001:166), such as conversational features, lexis, syntactic features, accent and idiolects convey implicit information about them: information which has to be derived by 'inference' (Culpeper, 2001:172-229). For example, the fact that somebody speaks slowly reveals nothing explicitly about the speaker. However, based on the hearer's assumptions about slow speakers (for instance, they may be shy, introvert, hesitant and/or reserved) and, in terms of the appropriate contextual factors, the hearer may *infer* personal aspects about the speaker (such as introversion, hesitation and reservation). In addition to individualistic properties of characters' speech, the social dynamics of characters' interactions disclose other facts about them, such as their interpersonal relations and the way they perceive them (Bubel, 2011).

The value of linguistic representation to understanding characters has been emphasized in many stylistic studies (Culpeper, 2001; Bennison, 1993; Chen, 1996; Toolan, 1988; van Peer, 1989). Various pragmatic theories have also been applied to literary and dramatic texts. For instance, by analyzing conversational structure and the 'cooperative principle' (Grice, 1975) states that speakers try to co-operate with each other in communication and attempt to be informative, truthful, relevant and clear (which are referred to as the maxims of 'quality', 'quantity', 'relation' and 'manner', respectively). Further, other studies (e.g. Leech, 1992; Cooper, 1998; Bennison, 1998) have tried to demonstrate how we can adopt frameworks from discourse analysis and pragmatics to analyze the conversational behaviours of fictional characters and how changes in their conversational behaviour may lead to viewer's inferring that internal cognitive changes

have taken place within them. Implicature (Grice, 1975), as the significance that can be deduced from the form of a particular utterance on the basis of co-operative principles which govern the efficiency and normal acceptability of conversations, has been employed (e.g. Cooper, 1998) to examine, for instance, how we can reconstruct the specific inferential chains which lead us to a particular interpretation of specific characters. Further, how such linguistic inferences, generated via Grice's (1975) model, interact with inferences based on particular genre's conventions to produce differing interpretations has also been a key area of study (Bennison, 1993; Chen, 1996; Cooper, 1981; Cooper, 1998). Linguistic (im)politeness (Brown and Levinson, 1987) – a sociopragmatic concept which characterizes linguistic features mediating norms of social behaviour in relation to concepts as courtesy, deference and distance – has also been used to analyze the language of dramatic texts. Studies which use linguistic (im)politeness frameworks, for instance, deal with the strategic manipulation of language and expediting our conversational goals by saying what is socially appropriate (Culpeper, 1998:83). A framework that brings together *face* (an emotionally sensitized concept of the self) and sociological variables such as power and social distance, and relates them to motivated linguistic strategies are particularly useful in understanding how particular characters position themselves relative to other characters and how they manipulate others in pursuit of their goals (Leech, 1992; Simpson, 1989; Culpeper, 1998, 2001; Bousfield, 2007). SAT, as another pragmatic theory is also used to analyse dramatic texts, for example, to analyze how patterns of SAs can create and represent characters (Lowe, 1994; Hurst, 1987; Short, 2007).

SAT (Austin, 1962), originally devised for the pragmatic analysis of real-life conversation, retains some usefulness in the stylistic analysis of characters' dialogue in dramatic, as well as cinematic texts. SAT enables us to see how the characters are created and developed not only through what they say but also *how* they say it. The types of SAs characters tend to produce can be related to the amount of power they exercise in relation to others, and the degree of politeness they wish to signify (Short, 1996; Short and et al., 1998). Furthermore, when applied to a stylistic analysis of dialogue, SAT provides a means of explaining how 'foregrounding effects' (see 2.5.1) can be achieved in interactive talks (Jeffries and McIntyre, 2010:118). Characters' individual aspects can be construed through their deviation(s) from prototypical SAs by using indirect SAs – as utterances whose linguistic form do not directly reflect their communicative purpose(s), and flout the 'speech maxims' or the 'cooperative

principles' (Grice, 1975) as the assumptions that the speaker and the interlocutor typically hold when they engage in conversation (Jeffries and McIntyre, 2010:106). In fact, Grice's (1975) cooperative principles describe how effective communication in conversation is achieved in common social situations.

The link between characterization and SA is fundamental. Down (1989) emphasizes the SA embodiment of characters' intentions:

Characterization essentially involves the manifestation of inner states, desires, motives, intentions, beliefs, through action, including speech act. We can ask why a speaker said what he did and propose and intentional description as an answer (p. 226).

In this sense, a complex account of an individual's utterances, actions and SAs construct or represent characters. This is mainly because – according to the theoretical principle of SAT – words are hardly empty; they are actions in themselves. According to SAT, saying is doing, and thus, utterances are acts, capable of producing outcomes or affecting people and events (Kozloff, 2000).

Having highlighted the importance of characters' utterances as potent social acts and the value of SAT in characters' identity construal, SAs are conceptualized as cognitive schemas in the present research. Concerning RQ 5 on the significance of SASs in understanding non-prototypical SAs (such as indirect SAs, SAs performed multimodally), such a schematic view of SA legitimizes many variations of one SA through considering their rules not as constitutive (like grammatical rules) but more like principles (as Gricean maxims) (Thomas, 1995; Short, 2010). This schematic treatment also overcomes the limitations of SAT (Austin, 1962; Searle, 1969), such as the naming problem, difficulty in distinguishing among related SAs, discordance between linguistic forms of utterances and the intended meaning(s) (see 3.2 for discussion on the inherent problems of SAT). This schematic approach to SA is also in line with the present study's cognitive approach which highlights the role of prior knowledge in the form of schema in the film-comprehension process. In this research, 'pragmalinguistic schema', as a general and vast linguistic and pragmatic concept, encompasses viewer's prior knowledge of linguistic behaviour and includes many pragmatic and linguistic sub-schemas (Jeffries and McIntyre, 2010). SAS can aptly be viewed as a type of/a part of the pragmalinguistic schema mainly because they are highly flexible in the sense that while they retain some rigid elements, many variations can be envisaged. The concept of SAS is also consistent with the specifications of film, which, as a multimodal

medium, utilizes different semiotic – including linguistic and non-linguistic resources – to convey, express and communicate meaning. It is assumed that SAs in film can be performed multimodally, for example paralinguistically and by use of cinematic devices.

The researcher is well aware that SAs can hardly be discussed without endorsing the related pragmatic theories, including politeness theory (Brown and Levinson, 1987) and the cooperative Principle (Grice, 1975), since these pragmatic concepts are mutually interconnected. Any deviation from prototypical SAs, such as using indirect speech to trigger implicatures, entails flouting, violating or infringing a speech maxim. The way people, as well as characters, perform their SAs reveals their intentions and the way they perceive interpersonal relations to manage the social context; to maintain the social (dis)equilibrium and the (un)friendly relations which implies that ‘the interlocutors are being (un)cooperative (Leech, 1983:82). This, according to Culpeper (2001:237) is the business of politeness. However, the present research focuses particularly on SAs while highlighting the theoretical interconnections between these pragmatic theories.

This chapter deals with Aim 1 of the present research regarding pragmalinguistic schema (particularly SAS) and the function of SAS in understanding characters’ SAs. With regard to RQ 4, which concerns the characters and SAs, this chapter discusses how characters are created and developed by means of their pragmalinguistic behaviour, and particularly by the SAs they draw upon (see 3.4). More specifically, according to RQ 4a which deals with the SAs performed at different levels of film discourse, this research argues that the function(s) of a SA in film narrative is not only limited to characters’ SAs and that other types of SA can be assumed to be embedded in different levels of film discourse. As assumed in RQ 4a, an insightful SA analysis of narrative film should be able to account for the functions of SA on various levels of film discourse. As discussed in 1.3, the significance of analyzing the SAs performed on different levels, particularly the SAs of a narrator (VO/VI narrator and camera, as a visual narrating agent) is that such SAs can contribute to character creation and development as they can create, emphasize or de-emphasize viewers’ initial impressions. For example, by means of a narrator’s SAs to describe a character, a specific impression of this character can be conveyed, which is likely to motivate film viewers to make specific assumptions about their character and/or personality/internal life. Drawing loosely on Bernaerts (2010), who identifies five separate illocutionary acts

that operate on different levels of literary communication, various levels of SA in narrative film are proposed, which are modified in terms of film's multimodal elements (see 1.5.1). Drawing loosely on Bernaerts (2010), who identifies five separate illocutionary acts that operate on different levels of literary communication, various levels of SA in narrative film are proposed, which are modified in terms of film's multimodal elements. Bernaerts's levels of SA in narrative film include the author's creative act, the narrator's act of telling, the reader's act of interpretation, the inferred SA of the text as a whole, the narrators act of telling (VO and camera), and the characters' SAs (see 1.5.1). With regard to RQ 5, the present chapter also deals with different representations of SA in film discourse. It argues that film, as a multimodal medium, is able to convey/communicate different variations of SAs by means of its medium-specific audiovisual devices. Understanding different variations of SAs is achieved by means of SAs. In addressing RQ 5, this chapter proposes a model for SAS, as a part of film viewers' schematic knowledge.

Next, Section 3.2 discusses the preliminaries of SAT, the fundamentals of SAs and classic SAT's main limitations. This is followed by a description of the specifications of rules vs. principles (Thomas, 1995), and an illustration that SAs are more principle-driven rather than rule-driven, which endows them a schematic nature.

Moving on, Section 3.3 critically discusses the key cognitive and pragmatic approaches to SAS, while Section 3.3.1 explores the effect of multimodal aspects in the expression of SAs – including paralinguistic cues. It also deals with the effect of cinematic techniques, as a part of film's multimodality, on SA production and uptake. A scene from Ingmar Bergman's *Winter Light* (1963) is also analyzed in terms of how characters' paralinguistic behaviour together with film techniques contribute to convey their speech acts. Section 3.3.2 addresses the main limitation of SAT (disregarding context in production and uptake SAs). As pragmastylistic analysis of literary, as well as dramatic and cinematic text, are rather context-sensitive, disregarding the effect of context becomes problematic in SA analysis of such texts, and therefore, the pragmatic-cognitive concept of 'interactive frame' (Tannen, 1993) is proposed as a remedy. This contributes to the applicability of SAT to the stylistic analysis of drama-cinematic texts. The schematic aspect of interactive frame is compatible with the cognitive framework of the present research. Relying loosely on Austin's (1962) and Searle's (1969) basic specifications for SAs and their conditions, Bach and Harnish's (1979) cognitive theory of pragmatics and SA comprehension, and also Tannen's (1993) cognitive-

sociolinguistic concept of interactive frame, a generic model for SAS is outlined in 3.3.3.

Next, Section 3.4 discusses the implication of SAT for pragmastylistic analysis of dramatic and film text. It particularly deals with the significance of SAs in dramatic characterization and how characters can be created, expressed and comprehended by means of the SAs they draw upon. By investigating the characters' patterns of SA in Kaneto Shindo's *Onibaba* (1964), this section argues how particular types of characters' SAs and the way they are performed contribute to the creation and development of their identity, intention, power and interpersonal relationships, and how their patterns of SAs cue viewers to form impressions about them.

Section 3.5 discusses the significance of particular SAs performed on different levels of narrative discourse with regard to film's embedded discourse (see Chapter 1) and film's multimodal aspects. This section points out that specific SAs performed at the different levels of narrative can contribute to character creation and development. The SAs performed in narrative discourse are investigated in the following order: the creative act of author (3.5.1), the inferred SA of the text as a whole (3.5.2), the viewers' act of interpretation (3.5.3), the narrator's act of telling, including the role of voiced narrator and camera as the most important narrating agencies (3.5.4) are discussed in 3.5.4.1 and 3.5.4.2, and finally, the SAs performed by characters (3.5.5).

The chapter's conclusion (3.6) outlines the main points made.

3.2 SAT: the preliminaries

SAs, derived from Austin's (1962) work on SAT, assume that we do not simply use language to *say* something (i.e. to make a statement), but to perform *actions*. Further, any SA consists of three linked components: the locutionary act, its illocutionary force, and its perlocutionary effect. Crystal (2003:427) outlines this concisely:

It is not an 'act of speech', but a communicative activity (a locutionary act), defined with reference to the intentions of speakers while speaking (the illocutionary force of their utterance) and the effects they achieve on listeners (the perlocutionary effect of their utterance).

In other words, a locutionary act (i.e. saying something) refers to making a meaningful utterance which generates illocutionary force – its intended significance –

while the perlocutionary effect refers to the actual effect the SA has upon the interlocutor (i.e. persuading, dissuading, encouraging, discouraging). For example, when person A says ‘I would love to see you try out a new genre of filmmaking’ (locutionary act) intending to *encourage* B to try something different (illocutionary force), and the actual outcome is that B feels defensive about his choice to remain devoted to a particular genre (perlocutionary effect) then the intended outcome (encouragement) is at odds with the actual outcome (discouraging). actually intends to makes a *promise* (illocutionary force), in which the act of *promising* is realized linguistically by use of the performative verb, that is a type of sentence where an action is ‘performed’ by virtue of the sentence having been uttered (Crystal, 2003:343). The effect of A’s utterance of promise can be realized in B’s reaction: B might acknowledge A’s promise by saying ‘ok’ or ‘alright’ (perlocutionary effect). Although in this example the performative verb is used, there are cases in which the meaning of the performative act is implied in the utterance. As in ‘I will bring back the book tomorrow’, the act of *promising* is indirectly implied (as no performative verb is used) by using a constative verb, i.e. descriptive statement which can be analyzed in terms of truth values (p. 343).

In formulating a series of rules to explain how SAs work, Searle (1969) introduces the contextual ‘preparatory’ and ‘sincerity’ conditions, which help the hearer to capture the speaker’s intended meaning, as, depending on context, the same utterance may have very different perlocutionary effects. Searle’s rules designate the prototypical SAs and exclude anomalous utterances from the category of the intended SA. He proposes that all SAs can be broken down into four major components: propositional act, preparatory condition, sincerity condition, essential condition. For example, Searle’s (1969) rules for the prototypical SA of *promising* can be outlined as follows:

Propositional act	S (speaker) predicates a future A (action)
Preparatory condition	S believes that doing A is in H’s (hearer) best interest and that S can do A.
Sincerity condition	S intends to do A.
Essential condition	S undertakes to do A.

Further, Searle discusses the rules established in relation to *promising* can be applied generally to other SAs, in the sense that every speech, in order to be ‘felicitous’

or happily performed, and hence achieve the ‘felicity condition’, (i.e. the criterion which must be satisfied if the SA is to achieve its purpose), should conform to these four conditions. As the general framework of SAT proposed by Austin and Searle, there are a number of problems inherent to this theory which can be outlined as follows.

First, Short (2007) indicates the ‘naming problem’. He explains that, due to the usual problem of establishing categories, there are names for ‘predated SAs’ (e.g. *command*, *order*, *threat*, *apology* etc.) but there are many SAs that cannot easily be assigned names (p. 170). For example, if I *beg* someone, that cannot be considered in exactly the same way as an SA which makes a *request* or *order*.

Next, it is not always possible to distinguish among SAs which relate to one another (Thomas, 1995; Bennett, 1991; Toolan 1998). For example, *ask*, *request*, *order*, *command* and *suggest* involve an attempt to induce an interlocutor to act and all have the same felicity conditions as the criteria which must be satisfied if the SA is to achieve its purpose (Crystal, 2003:178). Thus, according to Jeffries and McIntyre (2010), the only difference between such SAs is ‘contextual’, rather than linguistic (p. 118), meaning that, one speaker must be in authority over another in order to fulfill the general conditions for that particular SA. In order to distinguish *order* or *command* from *request*, Searle (1969) introduces some ‘preparatory rules’ determining that the speaker must be in a position of authority over the hearer. But as Thomas (1995) argues, even with the additional preparatory conditions, there may be instances where the power relationship between interactants is contested and therefore, it would be difficult to determine who is in authority. In this case, there is no guarantee that the *order* is performed felicitously (p. 96-97).

Similarly, Thomas (1995) argues that almost all SAs (except explicit performatives or direct speech) are indirect to some degree, meaning that they are utterances whose linguistic, grammatical form does not directly reflect their communicative purpose(s) (Crystal, 2003:232). Therefore, indirect SAs are performed by means of other speech acts¹ and do not appear to fit the grammatical structure and

¹ The indirect performance of speech acts depends on contextual factors, such as the ‘power’ of interactants, the ‘social distance’ between them and the ‘degree of imposition’, i.e. how great is the speech act one wishes to make (Leech 1983:126, Thomas 1995:124-131, also Goffman, 1967, Lakoff, 1974). For example, a warning can be performed in the form of interrogative in order to diminish the ‘degree of imposition’. Indirect SAs may also correlate with the perception of greater politeness (Brown and Levinson 1987). More a speech act is performed indirectly, more the speaker is perceived as polite

the illocutionary force traditionally associated with them (p. 94). Regarding such disagreement between the grammatical form of a particular locution and its illocutionary force in indirect speech, Toolan (1998) argues that the ‘surface form’ (the formal and grammatical structure of an utterance taken separately) can hardly tell us which SA is being performed. For example, the illocutionary force of the utterance ‘I’ll see you tomorrow’ could be that of a promise, a prediction, a threat, or the expression of hope. Accordingly, as Levin (1976) points out, ‘there may be ambiguity as to the illocutionary force of an utterance if that force is only implied’ (p. 145). Thus, for the interpretation of implicit SAs, Toolan (1998:146), appropriately proposes a ‘functional interpretation’ in which the ‘uptake’ of a SA is carried out according to the context. In other words, the context determines the illocutionary force of the intended SA (see also 3.3.2 for the role of context in SA interpretation).

The fourth issue regarding Searlean conditions is that they often fail to explain all the instances of one particular SA in different situations (Lepore and van Gulick, 1991; Thomas, 1995; Short, 2007). For example, the propositional act of *apology* premises that the speaker expresses regret for a past act (Searle, 1969), however it is also possible to apologize on behalf of someone else. Furthermore, we sometimes apologize for a present act. In the sentence ‘I’m sorry that my son is disturbing you’, none of the Searlean conditions is fulfilled, as the speaker is not the doer of the act for which she expresses the *apology*, and the act of disturbing the neighbors is still ongoing at the moment the locution of *apology* is being expressed. Yet, such an act is still likely to be considered an *apology*. The SA of *apology* may also be attributed to a future act. For instance, when a partner expresses his sorrow by saying: ‘I’m so sorry about leaving you’, using the present continuous aspect to seek forgiveness while he is still packing his things. These problems deal merely with the propositional condition of the SA of *apology*, while similarly there are problems with other Searlean conditions (see Thomas 1995: 98-105 for further discussion on these).

Regarding such problems, Thomas (1995) argues that the SA conditions are not ‘constitutive rules’ as described by Searle (1969), ‘speaking a language is a matter of performing SAs according to systems of constitutive rules [...]’ (p. 38), and thus, a formal, rule-governed consideration fails to assign SAs to clear-cut categories. In fact,

and vice versa; as an instance, in ‘can you pass the salt?’ the speaker uses an interrogative form to achieve the requisitive in a polite way.

Searle's conditions are just capable of tackling the most prototypical instances of SA and do not seem to fit real life data, as the earlier discussion of the SA of *apology* shows. Having claimed that it is extremely difficult, if not impossible, to devise rules which capture satisfactorily the complexity of SA, Leech (1983) and Thomas (1995) suggest that SAs are better if described in terms of 'principles' rather than 'rules' – the approach adopted by the present study which conceives SAs as principle-governed. The stark difference between rules and principles as two types of generalization are outlined next by Thomas (1995:107-114):

1. Rules are all or nothing, principles are more or less. Rules are yes/no in their application, but principles can be applied partially in varying degrees. Thomas (2005) clarifies the relativity of principles by exemplifying interpersonal principles/maxims, which can be observed to different degrees; one can be extremely to moderately polite, or in terms of Grice's Conversational Maxims, one can speak extremely clearly, fairly clearly or not at all clearly (maxim of manner).
2. Rules are exclusive, principles can co-occur. This means that invoking one rule precludes another, while one can invoke two or more principles simultaneously; for example, both maxims of Manner and Quantity can be observed by giving the right amount of information in a clear manner.
3. Rules are constitutive, principles are regulative. *Constitutive* rules define a system, however, *regulative* rules regulate a system. For example, the descriptive grammar provides constitutive rules, delineating what are/are not grammatically well-formed sentences in a given language, but pragmatic description includes maxims/principles showing how people make choices from within the grammatical system in order to achieve their goals and behave appropriately in different contexts.
4. Rules are definite, principles are probabilistic. Regarding the definiteness of rules, Thomas argues that grammatical rules do not tolerate counter-examples, meaning that when a sufficiently powerful counter-example is found, the rule fails and need to be reformulated. In pragmatics, there is no such conviction and one can state with more or less certainty what is probably the case. Such principle-governed characteristic applies to all the areas of pragmatics, including SAs.
5. Rules are conventional, principles are motivated. While the grammatical rules are arbitrary in terms of their acceptability in a given language, pragmatic principles are

motivated. For example, if people find that they are more likely to achieve their aim if they speak politely, clearly they will do so.

Based on the specifications of rules and principles, it can be claimed that a rule-governed approach, as described and favoured by Searle (1969), to describe SAs and their felicity conditions can hardly capture all the instances of a given SA. There are instances in which a SA deviates from the conditions of the prototypical SAs, as it was argued in the example of *apology*.

SAs are indefinite and relative. It is not possible to distinguish among related SA, and they are hardly interchangeable. For example, *ask*, *request*, *order*, *command* all prototypically involve an attempt by the speaker to bring about an action on the part of the hearer, but they cannot be used interchangeably. In order to distinguish *order* from *command* from *request*, as Searle (1969) suggests, is to introduce some additional preparatory rules and sincerity conditions. Accordingly, a definite categorization for SA cannot be envisaged.

In terms of co-occurrence of SA principles, it can be claimed that there can be semantic overlap in some related SAs. SAs are motivated, in a sense that their usage may vary according to the immediate context, and thus, the illocutionary force of the same utterance is not always fixed. For example, the illocutionary force of the informative utterance ‘the cat is on the mat’ may vary according to the immediate context. Such locution has no fixed meaning, because it may be interpreted as *warning* or *caution* according to the context in which it is used. Such characteristics, particularly indefiniteness and relativeness, are consistent with the specifications of *schemas* (see chapter 2). There is not a definitive and clearly-defined schema for any given phenomenon. Variables such as background knowledge, culture, affect, age and etc. govern people’s schemas. For instance, the wedding-party schema may vary drastically according to the participant’s culture and nationality. And, therefore, the principles-based nature of schema enables us to conceptualize SA as schema.

Due to the inherent limitations of SAT and along with the cognitive framework of the present study, following Harnish and Bach (1979) and more recently Short (2007), SAs are envisaged as *schemas* in this study. Just as there are justifiable and sensible variations of a schema for a particular phenomenon, object or act (such as ordering in a restaurant), there can be many variations of schemas for a particular SA. Taking the famous restaurant schema, Short (2007:171) asserts that in some restaurants

we pay for food at the time we order it, and in others, we pay just before we leave. These kinds of variations can be seen as analogous to the variations on apology SA discussed earlier in this section. Accordingly, by adopting a schematic view, a variety of conditions for *apology* are plausible, in which someone can apologize on the behalf of another, or one may propose an apology for a future act. However, some aspects of schemas are more rigid and less flexible than this. For example, not being regretful would not be a credible variation in the *apology* schema, or in the restaurant schema ‘Leaving a restaurant without paying would not be a possible variation’ except under special deviant and foregrounded situations’.¹ Accordingly, the next section discusses the cognitive and pragmatic approaches to SA and then proposes a framework for SAS and outlines its fundamentals.

3.3 Revising SAT: Speech Act Schema (SAS)

The schematic approach to SA has rarely been employed in cognitive research, although Toolan (1998) and Short (2007) in stylistics, Harnish and Bach (1979) in discursive psychology, and van Dijk (1981) in pragmatics are exceptions. However, Toolan’s (1998) and Short’s (2007) work does not directly deal with the specifications of SAS: it is only briefly implied in their interpretive frameworks. As cognitive psychologists, Harnish and Bach (1979) approach this concept more directly and comprehensively and the cognitive aspects of their model are more dominant than those suggested by pragmatics. In a seminal study on cognitive theory in pragmatics, van Dijk (1981) suggests a schematic approach to pragmatic theories, including SA, in which he envisages pragmatic comprehension as part of a general theory of information processing. However, he discusses the schematic comprehension of the pragmatic theories rather generally and fails to describe the specifications of his suggested pragmatic comprehension thoroughly.

In his suggested model for classification of SAs, Toolan (1998) implies the concept of schema. He classifies all SAs into generic categories of *offer*, *request*, *inform* and *question*. Then, he sets some principles for the canonical SA and the stereotypical context of its occurrence. Each label includes certain specifications and covers a range

¹ In drama-cinematic texts, the genre of comedy employs the foregrounding effect through deviating from the prototypical SA principles. The different style of a specific SA attributes to delineate the characters and the contrast among them, and counts as a clear source of humor.

of utterances. For example, the rubric of *Request* includes ‘any conversational act in which a speaker seeks goods or services from the addressee, such as commands, demands, request, pray, etc.’ (ibid., p. 144). Toolan asserts that the characterizations of the proposed types of SA are ‘tendencies, fitting canonical instances fairly well and other instances more loosely or not at all’ (ibid., p. 151). Toolan’s description of SA categories is nonetheless consistent with the specification of schema as a flexible construct which is prone to change.

Similarly, grounding their proposed model on Austin’s (1962) and Searle’s (1969) SAT, Bach and Harnish (1979:3) suggest that the generic components of a given SA can be schematically delineated as follows:

[*S=speaker, H=hearer, E=expression, L=language, C=context of the utterance*].

*Utterance act:*¹ S utters E from L to H in C.

Locutionary Act: S says to H in C that so-and-so.

Illocutionary Act: S does such-and-such in C.

Perlocutionary Act: S affects H in a certain way.

In this intimately related process, S says something to H by uttering E, and thereby S does an act, and by carrying out this act, S affects H. The intended SA is performed *feliculously* or *happily* (Austin, 1962) when H understands the force of the locution.

Harnish and Bach (1979) also claim the interactants may rely on two types of presumptions to comprehend a SA. In other words, their SAS includes the ‘linguistic’ and the ‘communicative presumptions’ (p. 7). The former, analogous with Chomsky’s (1965) ‘linguistic competence’, refers to the linguistic knowledge possessed by speakers in a particular linguistic community. The latter, ‘communicative presumption’, indicates the mutual knowledge by which the hearer can distinguish a ‘performative’ act from a ‘constative’ act and the intended illocutionary force (see 3.2 for discussion of performative and constative acts). The inference the hearer makes about the illocutionary force of the utterance is based on the ‘mutual contextual beliefs’ (MCBs) or the salient contextual information which, especially in the case of indirect SAs, give(s) rise to a specific inference (p. 5). By indicating the mutual contextual beliefs,

¹ ‘Utterance Act’ for Bach and Harnish (1979) is what Austin (1962) calls ‘phatic act’. By utterance act, they mean an act which involves producing the sounds of a certain language reported by direct quotation (p. 283).

Harnish and Bach amend one of the important limitations of Austin's (1962) theory that is the lack of context(s) (Culpeper, 2010; Thomas, 1995). However, they do not specify how aspects of context can affect the interactant's interpretation of their SAs.

With regard to the taxonomies of SAs and their illocutionary forces, different taxonomies of illocutionary acts have been proposed (Austin, 1962; Searle, 1975; Harnish and Bach, 1979). All the taxonomies roughly categorise SA into four or five general groups with different labels but almost with the same content: 'directives', (speakers try to get their listeners to do something, for example, *begging*, *commanding*, *requesting*), 'commissives', (speakers commit themselves to a future course of action, for instance, *promising*, *guaranteeing*), 'expressives', (speakers express their feelings, for example, apologizing, welcoming, sympathizing, 'declarations' (the speaker's utterance brings about a new external situation, for instance, *christening*, *marring*, *resigning*), and 'representatives' (speakers convey their belief about the truth of a proposition, for example, *asserting*, *hypothesizing*) (Crystal, 2003:427). The current study draws on Harnish and Bach's (1979) taxonomy of SAs and the illocutionary forces. This is mainly because although Austin's (1962) model includes a rich variety of illocutionary act types, there are no clear principles by which they amalgamate into the five classes. Searle's classification, though more principled and systematic, displays some overlap in classifying illocutionary force(s). On the contrary, the fundamental idea of Harnish and Bach's (1979) taxonomy is that the illocutionary intents, by which types of illocutionary acts are distinguished, are all homogeneous with the SAS. That is to say, the SAS represents the general form of illocutionary intention and inference, and the entries in their taxonomy provide the content, as is evident in the description of SAS: the identification of the illocutionary force being performed (Harnish and Bach, 1979:40).¹ Moreover, Harnish and Bach's taxonomy is more consistent with the theoretical framework of the research, where SAs are conceptualized as schemas. Another characteristic of Harnish and Bach's (1979) taxonomy is its comprehensiveness and explicitness. It covers many types of illocutionary forces in detail, not only labeling

¹ For instance, the outline of the specifications of *assertives* (belong to the category of *constatives*), are as follows:

(e= expression, S=speaker, P=proposition, H=hearer)

Assertives (affirm, assert, say, state, claim, and etc.)

In uttering *e*, S asserts that P if S expresses:

- i. the belief that P, and
- ii. the intention that H believes that P

them but specifying what distinguishes them. They (1979) divide communicative illocutionary acts into four general categories, naming ‘constatives’, ‘directives’, ‘commissives’, and ‘acknowledgments’; which, as they claim, corresponds roughly to Austin’s ‘expositives’, ‘commissives’, ‘exercitives’, and ‘behabitives’, respectively, and closely to Searle’s ‘representatives’, ‘directives’, ‘commissives’, and ‘expressives’ (ibid., p. 40-41, for Harnish and Bach’s (1979) classification of communicative illocutionary acts see Appendix 7). The specifications and instantiations of Harnish and Bach (ibid.) are discussed in the course of the SA analysis in Chapters 5, 6 & 7.

3.3.1 SAs and the effect of multimodal aspects

Taking into account paralinguistic cues, particularly gestures, Kendon (2004) argues that the propositional content of the utterance can also be conveyed through gestures, which are capable of performing actions and, hence, add further information:

Speakers also use gestures as part of the way in which they ‘do things’ with utterances. A speaker always produces an utterance to achieve something. As a participant in conversation I may complain, evaluate, disagree, refuse, plead, assert, maintain something in opposition, mock, attack, retreat, show deference, ignore, exhibit skepticism, give an honest answer, ask, and many other things. As has long been noted, gestures often play an important part in carrying out such actions. (2004:225)

Therefore, as Kendon (2004) implies, paralinguistic cues (gestures, gaze behaviour, facial expressions) are capable of encoding meaning besides those already realized on the verbal plane of an utterance; some of which seem to be closely linked to the type of illocutions such as assessment, evaluation, and subjective perspective.

Van Dijk (1981) aims more specifically at the pragmatic aspects of SAs. Such consideration is noticeable in his specifications of (prior) knowledge, on which interactants draw to understand a SA. He explains that the comprehension of certain utterances, such as SAs, is based on different sources of knowledge: the ‘structure of the utterance’ (as defined on the basis of the grammatical rules), the ‘paralinguistic properties’ (e.g. speed, stress, intonation, pitch, etc. on one hand, and gestures, facial expression, body movements, etc. on the other), the ‘perception of the communicative context’ (presence of objects and other persons), the ‘prior knowledge about the interactant(s)’ (the knowledge derived from the previous speech acts, other kinds of

general world-knowledge, although van Dijk does not specify the contents of this type of knowledge (p. 218).

Taking into account the paralinguistic properties, van Dijk's (1981) model, in comparison with Harnish and Bach's (1979) and Toolan's (1998), is more consistent with the implication(s) and comprehension of SAs in stage play and film, as these two media utilize multiple 'modes' and different visual semiotic resources to communicate meaning. In film, some SAs, such as *order* or *denial*, can be communicated visually by the facial expression and eye vector, as an invisible line connecting two participants; an actor and a goal (Kress and van Leeuwen, 1996). Cinematic devices, such as lighting or camera movement, can also establish or underpin the value or the force of SAs.

A good example of how film's multimodal devices can reinforce the force of characters' SAs is the confession scene in Bergman's *Winter Light* (1963). In a sequence of the film, the co-deployment of contrastive and sheer light together with close-ups of the characters' face and also the shot order in the form of shot-reverse-shots – an editing technique widely used in dialogue sequences in which characters exchange look – evoke and reinforce the impression of *confession*. The sequence shows a priest confessing to Johan, a fisherman tormented by anxiety about his own troubled relationship with God. The priest's alienation and loss is reinforced multimodally by his hesitant voice and straight vectors which he (as the actor) establishes with Johan (as the goal) in the form of a fixed and long gaze to convince him that as an ignorant, spoiled and anxious clergyman, he is ineligible to show him the right way (Grab 3-1). The shot-reverse-shots of the characters' CUs of the clergyman's hesitant and agitated face to Johan's apprehensive and uneasy face contribute to convey the force of the clergyman's confession.





Grab 3-1. Shot-reverse-shot sequence for the priest's and Johan's CUs

In short, the schematic approaches to SAs all imply the role of the general prior pragmalinguistic and communicative knowledge derived from previous SA events in the production and interpretation of SAS. The inclusion of the role of prior knowledge is an indispensable premise of all schematic approaches to SA. However, context is highly important in a SA analysis of literary text, as well as dramatic/cinematic text, especially in case of indirect SAs, from which more than one inference can be drawn (see 3.3.2 and 3.4). SAT disregards context, and this becomes problematic when carrying out SA analysis in such texts. The lack of context treatment is also evident in the schematic approaches to SAT outlined above. The significant effect of context is disregarded by Toolan (1998), Harnish's and Bach (1979) and van Dijk (1981). Hence, their accounts of SAs can hardly be applied directly to the analysis of literary texts in which the context of the interaction gives rise to the production and uptake of SAs. Thus, in an attempt to find a remedy for this, and in line with the present study's cognitive framework, we consider the cognitive concept of *interactive frame* (Tannen, 1993) which is able to account for the interpretation of SAs with respect to the specific context in which they occur, as examined in the next section.

3.3.2 Script and Interactive frame

SAs performed by characters in literary as well as drama-cinematic texts are always sensitive to context, and herein lies the major problem with the implication of Austin's (1962) and Searle's (1969) SAT in stylistics analysis of such texts: SAT ignores the role of context to support SA production, uptake and interpretation (Levinson, 1979; Culpeper and McIntyre, 2010). Thus, SA analysis of such texts, as Culpeper and McIntyre (2010:187) argue, tends to be 'atomistic' as the contextual features are imported in a rather *ad hoc* way.

In order to amend such limitation and make the SAT more applicable to stylistics analysis of drama-cinematic texts, Culpeper and McIntyre (2010) suggest Levinson's 'activity types theory' (1979) as this shows how SAs constitute context. They also maintain that the contextual approach of activity types is entirely suitable to dramatic texts as they create their own contexts (Culpeper and McIntyre, 2010:187).

Having its origin in prototype theory (see 2.5.2) Levinson (1979) defines an activity type as:

[...] a fuzzy category whose focal members are goal-defined, socially constituted, bounded, events with constraints on participants, setting, and so on, but above all on the kinds of allowable contributions. Paradigm examples would be teaching, a job interview, a jural interrogation, a football game, take in a workshop, a dinner party and so on (p. 368).

Drawing on an example from Levinson (1979), Culpeper and McIntyre (2010) highlight that in the context of the courtroom, many questions can be understood as SAs of *accusation*. It is 'the knowledge of the interactional norms' of courtroom-type activity that enables a person to infer that a question may not be merely a question, and thereby, activity types, like SAs, are limited in numbers, and many activity types cannot be categorised into existing categories. Culpeper and McIntyre (2010) envisage a schematic aspect for activity types, the 'script', which is knowledge about sequences of related actions that we encounter frequently, such as going to the pub or a restaurant (Schank and Abelson, 1977, see also 2.5.1). Such a script (schematic) approach assumes that readers/viewers activate expectations about the default social roles which are appropriate to a particular setting. Furthermore, by adopting such a view toward activity types, this allows us to consider different variations of a specific activity type.

Another related concept, which emphasizes the role of context in the comprehension and interpretation of interaction(s) is Tannen's (1993) interactive frame. By using the term *frame*, Tannen integrates both a sociological and a psychological sense of the term: the former is informed by the work of Goffman (1974) who develops the theoretical foundations of frame analysis to illustrate how people use multiple frameworks to make sense of events. The latter, the psychological sense, refers to the notion of knowledge and expectation structure, which has been variously labeled in different related disciplines: *script* in artificial intelligence (Minsky, 1975; Schank and Abelson, 1977), *schema* in cognitive psychology (Rumelhart, 1975) and *frame* in cognitive linguistics (Filmore, 1975) and is widely referred to schema (see 2.5.1).

According to Tannen (1993:60) interactive frame refers to a definition of what is going on in a particular interaction, without which no utterance can be interpreted:

In order to comprehend any utterance, a listener (and a speaker) must know within which frame it is intended: for example, is this joking, is it fighting? [...].

In fact, the interactive frame determines the context in which the interaction is taking place, and thus, contributes to the recognition of the types of SA performed in discourse. Although both terms (interactive frame and activity type) may refer to the same concept, interactive frame, as the term implies, presupposes the expectations and prior knowledge of interactants in a particular context, and unlike activity types, there is no need to treat them as schemas. Furthermore, interactive frames are more flexible than activity types, as there is no formal categorization for them. Such adaptability allows us to envisage numerous interactive frames. Thus, any interactive event can be considered as an interactive frame, in which the interactants' roles are inferable.

People identify frames in interaction through linguistic and paralinguistic cues (Tannen, 1993). SAs function as paramount linguistic cues which determine the interactive frame within which the interaction is set. Similarly, the interactive frame contributes to the realization of the illocutionary force of the SA. In the case of indirect SAs, for example, when a chain of pragmatic inferences is involved in arriving at the intended SA, the interactive frame contributes to the realization of the intended force. The following example shows how the interactive frame of *invitation* helps us to understand the speaker's illocutionary or intended force:

A: Are you free tomorrow evening?
 B: Yeah, I think so, why?
 A: Have you seen Woody Allen's *Midnight in Paris*?
 B: No, but I heard it's a great movie.
 A: I've got an extra ticket for tomorrow evening's show.
 B: That's great. Thanks.

In this fabricated example, A invites B to join him to watch the film. Instead of asking her directly 'would you like to come with me?' he puts his *invitation* in a declarative 'I've got an extra ticket' (which is not a typical form of invitation) to decrease the amount of threat associated with direct question of *invitation*. The illocutionary force of *invitation* is based on the earlier preparatory questions posed by A. In fact, by asking whether B is free and whether she has seen Woody Allen's film, A

negotiates the SA value of the utterance by asking seemingly innocuous questions. These preparatory questions act as the ‘precondition header’ (Schank and Abelson, 1977) (i.e. the textual cue which causes the activation of the relevant frames or schemas) and thus, underpin the SA of *invitation*. Based on B’s schematic knowledge and the communicative presumption or the mutual knowledge by which A can distinguish the intended illocutionary force, A recognizes the interactive frame of *invitation* and perceives B’s utterance of having an extra ticket as the intended force of an indirect SA. In other words, by informing A that he has an extra ticket (the preparatory condition), A gives B linguistic cues to signal the interactive frame of *invitation* in which the SAS of *invitation* is recognized by B and accepted. Thus, the SA and the interactive frame mutually contribute to the recognition of the illocutionary force by B: by recognizing the interactive frame, the intended SA can be detected and *vice versa*.

Similarly, within the interactive frame, viewers make inferences about characters and their social roles (functions) and activate expectations about their default social roles. For example, the interactive frame of *interview* gives rise to some general expectations, not only about the role of interviewer and interviewee, but also more detailed expectations about those roles. For instance, age, class, and social functions are key as the interviewer, as the dominant figure, is *usually* older, from a higher social class, asks questions about the interviewee’s background and qualifications, and, although the interviewer takes fewer turns, they hold more power. The interviewee is *usually* younger, and, due to their role, as the one seeking a job, holds less power. Such schematic inferences are significant parts of characterization. However, such schematic roles may be manipulated to create foregrounding effects, which in turn can lead to incongruity and absurdity, which is a typical function of literary texts (Cook, 1994; Jeffries, 2001; see also 2.5.1)¹.

Considering the limitations of classic SAT outlined in 3.2, and taking into account the multimodal aspects (paralinguistic, cinematic and film stylistic devices) which can contribute to SA production and comprehension, and the context, as an important element in uptaking and understanding SAs and their intended illocutionary

¹ Drawing on an extract from Chapman et al. (1990), Jeffries and McIntyre (2010) demonstrate how the textual cues give rise to an interactive frame of interview and how the default roles of interactants deviate from readers’/viewers’ expectations to achieve a dramatic effect.

forces, a cognitive model for SAS – particularly for interpreting SAs in film discourse – is suggested in the next section.

3.3.3 A cognitive-pragmatic model for SAS

A cognitive theory of SA specifies how interactants are able to perform and understand verbal acts and how they are able to act upon such uptaking/understanding within the interactive frame in which the interaction occurs. A schematic approach to SA posits that SAs are not governed by rules but by *principles* (see 3.2). Like schemas, we can envisage different variations for a given SA. The schematic nature of SAs entails that they are prone to change while having some rigid structure, meaning that all SAs encompass locution (which can be performed verbally and/or multimodally), the intended illocutionary force and its perlocutionary effect. In terms of SAS, SA production and comprehension entail a cognitive process in which the hearer (H) assigns an illocutionary force to the speaker's (S) utterance based on the schematic world knowledge and the immediate context determined by the interactive frame. For example, in the SA of *congratulation*, S assumes that something pleasant has happened to the H. The S's schematic knowledge would inform them of what types of events are considered pleasant, to whom it is of interest, and in what context. The specification of SAS is also consistent with Searle's (1969) felicity condition (see 3.2). In terms of Searle's preparatory condition, it can be assumed that the event is in H's interest and S believes this to be so. S's schematic knowledge determines the pleasant event, whether it is graduating from university or getting married etc. on which they can express their delight to H. S is pleased at the event (the sincerity condition) on the basis of the fact that the event itself is pleasant and is also pleasant for H; therefore, the locution of *congratulation*, as an essential condition, counts as an expression of pleasure at that event.

The schematic general knowledge used to produce and understand SAs encompasses different sources (van Dijk, 1981). One of the key sources of this knowledge is paralinguistic properties, which in film, together with visual resources and cinematic devices, such as *mise-en-scène*, contribute to understanding SAs and their illocutionary force(s). The other important knowledge source is contextual knowledge

determined by the type of interaction and the structure of immediate context of interaction – that of the interactive frame (Tannen, 1993).

In terms of SAS, it is assumed that SAs can not only be performed verbally but also by means of other semiotic resources. For example, they can be performed paralinguistically (e.g. by means of facial expression or hand movements). This has implications for SA analysis of film, as it can be assumed that due to the multimodal nature of film, SAs can be produced by medium-specific, multimodal devices, such as aspects of *mise-en-scène* (e.g. music, lighting, and camera work) and/or their perlocutionary effect can be enhanced by such multimodal aspects. The analysis of the confession sequence in Bergman's *Winter Light* (1968) in 3.3.1 shows how the cinematic devices (specifically lighting and camera works) may evoke and reinforce the viewers' impression of the SA of *confession*. In fact, the illocutionary force of *confession* is not only conveyed through the film dialogue but, it is communicated multimodally through the co-deployment of verbal and visual cinematic signifiers, which in Desilla's (2012) words, plays a 'supplementary role' and enhances the illocutionary force of *confession*.

Having discussed the specifications of SAS, next section deals with the functions of SAs in character creation and development.

3.4 SAs and dramatic characterization

A number of scholars have applied SAT (Austin, 1962; Searle, 1969) to explain characters' interaction in drama (Ohmann, 1971; Pratt, 1977; Short, 1981, 1996; Miller, 2001; Lowe, 1994; Levin, 1976). The studies have generally focused on how playwrights exploit a particular SA in order to achieve a particular dramatic effect. In stylistic analysis of dramatic text, SAT provides a means of explaining how 'foregrounding effects' (Jakobsen, 1960; Leech, 1969, 1985; see also 2.5.1) can be achieved in interactive talk through deviating from the conventional SA principles. In his study of the SA of apology in Charles Crichton's *A Fish Called Wanda* (1988), Short (2007) demonstrates how the apology sequences in the film are foregrounded to humorous and amusing effect. The defective and differential operation of this SA brings out distinctive styles of apology, and therefore, establishes a contrast between the two male characters.

With regard to the interrelation of SA and personality traits, Palmers' (2004) concept of 'thought-action continuum' (p. 212) highlights the direct link between verbal and physical action and presupposed mental state. At one end of the continuum, mental functioning is indicated by a speaker's utterance, and at the other end, there is the readers'/viewers' inference of the mental state or aspects of their personality from this represented action. For example, the inferred personality trait of a character who frequently orders or commands directly is different from that who frequently carries out such commands. As I discuss later in 3.3, in SAT, the thread that runs from utterance to mental state is defined by Searle (1969) as the 'sincerity condition' (S intends to do A), as a condition which divides the illocutionary classes and explicates the speaker's intention. In fact, by allocating characters' SAs to the respective illocutionary classes, the audience (as well as the viewer) can infer the characters' mental state and/or attributes.

The types of SA on which a character incline or draw on reveal different aspects of characters, such as the social categories to which characters belong (see 2.5.3 for discussion on social categories), as each SA has specific 'contextual implications' for characterization (Culpeper, 2010:186). This means that the types of SA that characters tend to produce can be related to the amount of 'power' they have in relation to other people, as well as their objectives, personality and the social roles they exercise. Furthermore, shifts in types of SA that characters usually draw on, indicate a change in their character and interpersonal relationships and hence, contribute to character development. For example, in Shindo's *Onibaba* (1964), the characters' pragmalinguistic behaviour, particularly the types of SA performed by two main characters, negotiates such claim and demonstrates how specific SAs establish the character's intention, power and their interpersonal relationships.

At the beginning of the film, the old woman, whose son is away at war, exercises great power over her daughter-in-law. They live together and, as a traditional stereotype of an old mother-in-law, she behaves in a bossy and domineering fashion. The old woman's power and superiority can be inferred linguistically, e.g. through the (over)use of direct *order*, and visually, from the fact that she always walks in front of the young woman. One night, a young samurai (Hachi) shows up and reveals that he has deserted from the army and that Kichi (the son/husband) has been killed in the battle. After a while, the woman comes to mistrust her daughter-in-law, who has secretly coupled up with Hachi. She *orders* them directly not to be in touch with each other. The

old woman feels distressed as she finds out that they have secret night dates anyway. She thinks if her daughter-in-law leaves her for the young samurai, she will starve to death. So she softens the imposition of her order through *demanding* them, implying that she sees it as stronger than *request*, and weaker than the *order*, while she still tries to keep her moral sway over them. When the mother-in-law figures out that the couple is keeping up their stealth relationship, she starts to wear a facial mask she has taken from a slain samurai. The young woman discovers that it is her mother-in-law who appears as a demon to make her feel guilty about abandoning the old lady and encourage her to avoid the soldier. From this point, the old woman's conversational behaviour changes and this time she *asks* the daughter-in-law to pull the irremovable mask from her face. At the end of the film, the old woman's SA behaviour is characterized as *begging*, implying that the *request* is made from a completely powerless position.

At the beginning of the film, the salient aspect of the old woman's speech is her frequent use of *order* with the force of a *command*, which portrays her up as a controlling, domineering figure. However, when she fails miserably to control her daughter-in-law's love, which she thinks of as her destruction, her linguistic behaviour undergoes a dramatic change inferred evidently in her use of SAs, which can be perceived as her recoil. According to Short (2007), *character contrast* can be achieved by virtue of two characters being assigned contrasting SAs, such as question and answer, or order and carrying out or obeying the order (p. 169-170). Similarly, here the difference between the characters' SAs discloses the aspects of both characters: the old woman as the performer of *ordering* and *demanding* SAs and finally *begging*, establishes her character (respectively) as controlling, bossy and authoritative, and, at the end of the film, a retroactive figure. The young woman, as the recipient of such directive SAs, is firstly construed as timid, cowardly and timorous. However, when she realizes that the demon is in-fact her mother-in-law, she establishes herself as an assertive and commanding figure. Such disparity between the characters' SAs produces a contrastive effect in terms of their character's personalities.

Furthermore, the variations of SAs throughout the film contribute to character development; as in the case of 'round' characters (Forster, 1987), the evolution of characters is marked by changes in characters' speech acts during the course of the narrative. The shift in the old woman's speech acts, ranging from *ordering*, *demanding*,

asking to *begging*, attests to such claim and implies the gradual unfolding of different aspects of her character as the film progresses.

Differences in the way SAs are realized by viewers/readers can produce the character contrasts (Short, 2007:169-171; Culpeper, 2010:189). For example, Lowe (1994) examines the different individual SAs in Arthur Miller's *The Crucible* (1952) and argues how the same SA is perceived differently according to who is speaking. The white characters' *denial* is accepted and accepted as evidence of their innocence at being involved in witchcraft. Yet, the very same SA used by the black character, Tituba, is interpreted as a *confession* by the accusers. In other words, due to the asymmetrical power relations, the white characters and the black character realize their illocutionary force (Austin, 1962) or the conversational intention(s) in completely different ways. Consequently, the black character is portrayed as the victim of the unequal power relations at work during the 17th century Salem witch trials, while the white characters can choose to deny the charge and maintain their innocence.

In addition to the various types of SA, investigating how characters perform their SAs reveals their intentions, the way they perceive interpersonal relationships, and the way they manage their social context. Culpeper (2010) argues that indirect SAs, depending on context, correlate with the perception of greater 'politeness' (Brown and Levinson, 1987; Pinker, 2010, 2011; Terkourafi, 2011). Regarding the relationship between interactants, the degree of politeness characters display in their interactions can be taken as evidence of different facets of their character, such as social adeptness, weakness, or 'oiliness' (Culpeper, 2010:186). Among the various explanations that have been proposed for the 'universal phenomenon of indirectness' (Desilla, 2012:31), 'the desire to intensify the force of one's message' and 'the desire to make one's language more interesting and appealing' (Thomas, 1995:142-146) are of particular relevance to film dialogue. The manifestations of linguistic indirectness, as well as indirect SAs, are particularly celebrated in romantic comedy, in which dialogues often create emotion and humour through what is only intimated but left unsaid (Kozloff, 2000:191-200). According to Desilla (2012:31), humour (e.g. wordplay) and figurative language (e.g. irony) can substantially increase the impact of the message and are extensively used to make the characters' language more evocative, playful and enjoyable. Moreover, screenwriters have emphasized the crucial role of linguistic indirectness in the construal of the typical aspects of the genre of comedy and romance (p. 32).

In short, characters' SAs can contribute to their creation and representation, and any change in the pattern of their SAs can indicate change and development in terms of their personality, disposition, intention and interpersonal relation. Furthermore, the types of SA, the way they are performed by characters and their realization in dramatic, as well as film text, cues viewers to make inference about the characters' identity, their social and personal categories and their interpersonal relations.

As discussed in the introduction, the functions of a SA in film narrative are not only limited to characters and other types of SA are embedded in different levels of film discourse. According to RQ 4a, an inclusive SA analysis of narrative film, particularly when the focus is on character creation and comprehension, should be able to account for the functions of SA on various levels of film discourse. The rationale is that SAs performed on different levels can contribute to character creation and development, as they can emphasize or de-emphasize viewers' impressions of their attributes. In fact, the information regarding film characters can also be conveyed by means of SAs performed on different levels of film discourse. Following the discussion on how SAs contribute to characterization, the next sections deal with the levels of SA and their function in characterization within film narrative.

3.5 Levels of SA in film narrative

In literary, as well as film discourse, the functions of SA are not merely restricted to characters' verbal acts and other SAs are embedded in different levels of narrative communication. As pointed out earlier, SA analysis of a narrative should be able to specify the functions of SAs on various levels of film discourse. Bernaerts (2010) identifies five different illocutionary acts that operate on different levels of literary communication: the creative act of the author, the narrator's act of telling, the individual fictional SAs performed by characters, the reader's act of interpretation, and the inferred SAs of the text as a whole. Although Bernaerts' model is potentially applicable to any narrative fiction, it can hardly account for all illocutionary acts operating on different levels of film narrative. This is because film involves two distinctive features which inform the type and level of SA in the medium. These two medium-specific characteristics have been discussed in 1.5.1 and 1.5.2. However, here,

these aspects are examined in terms of the two ways they inform the type and level of SA in narrative film discourse:

1. Film, as a multimodal medium, utilizes various polysemiotic resources (including visual, vocal, verbal) to construct and communicate meaning (Kress and van Leeuwen, 1996). Film's multimodality endows it with a capacity to perform different SAs through both verbal and visual channels. In fact, the co-deployment of different semiotic resources allows film narrative to communicate complex forms of illocutionary forces. Accordingly, it can be claimed that the illocutionary forces operating at different levels of narrative communication, can be conveyed multimodally, e.g. verbally and audiovisually (see 3.3.1 and 3.3.3).

2. As discussed in 1.5.1, film, as an embedded discourse, consists of multiple levels to communicate meaning. Models of film discourse (Short, 1989; Clark, 1996; Bubel, 2006) assert that film narrative is a 'mediated' or 'screen-to-face' discourse (Bubel, 2006:46) involving different 'embedded layers' (Short, 1981) of creation and comprehension, in which filmmakers, characters, and viewers communicate as participants. It can be assumed that the participants of each embedded layer with their particular functions in meaning-making perform specific SA with various illocutionary forces.

As pointed out earlier in this section, the functions of SA in film narrative are, to some extent, similar to those suggested by Bernaerts (2010) for literary narrative. However, with regard to medium-specific aspects of film, Bernaerts' (2010) account is revised and modified to suit film discourse. In other words, in the specification of SAs on different levels of narrative film discourse, the present study takes into account both the effect of polysemiotic resources and its capability to perform complex illocutionary acts through visual and verbal channels, and the multiple levels of the medium discourse (production crew, including producer, screenwriter, director, camera, editing, lighting, film score and etc., film narrator, characters, and viewers).

3.5.1 The creative act of the author

The assumption of this present study is that the deep structure of every literary work, poem, fiction, play, and film constitutes an act of imagination and creation. Narrative film, like any other literary work, is to be understood implicitly as beginning by 'I *imagine* myself in and *invite* you to conceive a fictional world' (Levin, 1976:150).

The author(s) make(s) a tacit and implicit agreement with the reader/viewer to contemplate a world different from their actual world, a *possible world* in which novelties of references and suspension-of-truth conditions are tolerated (Ryan, 1991; Semino, 2002). The verbs *imagine* and *invite* and other locutions that associate with the same illocutionary force are ‘performatives’, in the sense that the question of the truth of the utterance cannot be raised and it is a matter of ‘felicity’ (see 3.2 for a discussion of ‘performatives’). In fact, authors hold an ‘authority’ in the sense that they are granted, by convention, the right to posit all the entities and actions necessary to their narrative, all of which become truth and reality in this fictional world (Chatman, 1978:164). The illocutionary force of authors’ SAs asserts that they transport and project themselves into a world of imagination and *invite/ask* readers/viewers to join them. By reading or watching a narrative fiction or film, readers/viewers uptake the illocutionary force implicit in the act of authors’ invitation to imagine the possible world of fiction. The perlocutionary effect of the author’s act of invitation is readers’/viewers’ tacit agreement to conceive this fictional world: what Coleridge (1817) calls ‘the suspension of disbelief’ (in Levin, 1976), in which the readers’/viewers’ judgment concerning the implausibility of the narrative fiction is suspended as the result of authors’ introduction of human attributes and truth resemblance into an imaginative world of fiction. In fact, the readers’/viewers’ suspension of disbelief makes authors’ SA of *invitation* felicitous.

Narrative films are assumed to negotiate implicitly and silently the let-me-tell you-a-story schema as the opening scenes appear on the screen. In some films, the filmmaker(s)’ tacit SA of *invitation* is carried out more explicitly, as different locutions of summoning or calling on viewers to engage in film are written on behalf of filmmaker(s) on the screen, such as ‘Martin Scorsese presents’ or in some films a VO narrator addresses viewers directly. For instance, at the beginning of von Trier’s *Dogville* (2003), the VO narrator addresses the viewers by saying ‘this is the sad tale of the township of *Dogville*’ and hereby invites them to become the witnesses of his story. The opening logos of filmmaking companies, e.g. Warner Bros Pictures and 20th Century Fox or Walt Disney Pictures, appearing on the screen and accompanied by an opening theme, function as another variation of calling the viewer into the fictional world of film and fulfil the same illocutionary act. Similarly, the parting of cinema-style curtains at the beginning of films such as Wes Anderson’s *Royal Tenenbaums* (2001) or Peter Greenaway’s *The Cook, the Thief, His Wife and Her Lover* (1989) acts as the

visual locution of an invitation to imagine a fictional world. In fact, the *schematic* view towards SA discussed earlier in 3.4 allows us to think of different locutions, and/or the visual representation of invitation to imagine the fictional world of film, with the same illocutionary force of request to attend and call for imagination.

3.5.2 The inferred SA of the text as a whole

Bernaerts (2010:277) argues that narratives may foreground certain macro SAs (for instance, as a motif in their titles) which encompass the whole illocutionary force of narrative and constitute a global thematic function. For example, Terry Gilliam's *Brazil* (1985), a film about post-industrial capitalism and bureaucracy, *criticizes* the world of totalitarian oppression and reveals his worst fears about what the future may hold.

Further, Kozloff (2000) asserts that in Hollywood films, verbal acts such as accusation, insult, confession, and love declaration are more prevalent than physical events such as firing a gun or searching for a specific place (p. 41-42). She also claims that films of different genre and cinematic traditions may tend to rely either on verbal events or on physical events, and *vice versa*. The present study assumes that the prevalence of verbal acts in films is not restricted to Hollywood films. In fact, in some genres, for example, action films or erotic films the (characters') physical acts are more foregrounded, in the sense that they may resort to physical acts more than the verbal ones. However, the prevalence of physical acts in such genres does not mean that verbal events are lacking. The fact that given SAs assume prominence in given films depends on genre conventions to a large degree. For example, the verbal seduction and enticement – and generally the verbal acts with the illocutionary force of attracting or tempting by offering pleasure – are among the typical types of SAs performed in erotic films. The most common macro-verbal event in mystery/crime films is the *revelation* or *disclosure of a secret* or crucial information that is vital to the plot. Similarly, the *declaration of love* counts as a macro SA in romance plots, through which the speaker verbalizes their emotion indicating that a private feeling can no longer be kept hidden. Within the macro SA(s), i.e. the verbal event(s) that constitute the general illocutionary force of the narrative, other local SAs are assumed to be embedded. For example, we can discuss different local SAs embedded in the macro SA of *love declaration* in Truffaut's *The Story of Adele H.* (1975).

The dominant SA in Truffaut's film, which constitutes the theme or the macro SA of the film narrative is Adele's deep love for Pinson, a British army officer. Such a macro SA is expressed directly through the explicit locutions of love declaration, such as 'I love you', or indirectly through other local SAs, which may contrast with the global SA (love declaration) of the narrative, although it conveys the same illocutionary force. For instance, Adele tries to *persuade* Pinson, announcing to him that she has rejected another marriage proposal, or she *threatens* him to ruin his military career if he will not give in to her love, or *offers* him money to pay off his gambling debt as a way of enticing him. In an unusual act, Adele *offers* Pinson a prostitute as a gift. In fact, the illocutionary force of all such unrelated SAs is trying to make Pinson aware of the affection she has for him, although the perlocutionary act or the effect of all Adele's attempts is Pinson's rejection and despire. Adele's love is indicated in the local SAs, ranging from *persuasion* and *threat* to *offer* (money and prostitute), whose illocutionary forces connect them all together to constitute the macro SA of *love declaration* as the main theme of the story. In fact, such foregrounding of specific SA(s) in narrative, as global/macro SA(s), may constitute the theme of the narrative and thus, the narrative calls for a SA-based reading.

3.5.3 The viewers' act of interpretation

Reading fiction is a cognitive action based on language that involves an understanding of the text – or of what the text seeks to convey. Concerning the act of interpretation, Iser (1978) believes that the reader's efforts to comprehend a narrative text are a 'process of discovery' as the reader must discover the code underlying the text, and this is tantamount to bringing out the meaning which is in the nature of a performative action.

Iser's reader'/viewers' process of discovery is consistent with film cognitivists' concept of active viewer (Bordwell, 1985), in which the viewer is assumed to execute the operations relevant to constructing a story from the film's representations (see 1.5.2 for discussion about 'active viewer'). Similarly, from a cognitive stylistics perspective, readers/viewers are actively involved in the process of meaning-making (Jeffries and McIntyre, 2010:127). As discussed in 2.4, concerning the reader's comprehension of fictional worlds, Semino (1997) argues that comprehension involves both projection

and construction, in the sense that a text projects meaning while readers construct it. In this process, the readers/viewers are guided by textual cues or, or in Iser's words, 'narrative techniques' (1978) which activate relevant aspects of readers'/viewers' world knowledge and allow them to build up meaning and make sense of what they have read. For example, the readers/viewers find themselves obliged to work out why certain conventions should have been selected for their attention. This process of discovery and construction of meaning is in the nature of a performative action bringing out the motivation governing the selection.

The present study's point (and that of filmmakers in general) is to produce in their viewers an imaginative and affective involvement in the state of affairs they are presenting and create in them an evaluative stance towards it. In fact, as discussed in 3.5.1, through the act of narrating, reporting and displaying the state of affairs, authors *invite* their addressees to join them in *contemplating* it, *evaluating* it, and *responding* to it, as Pratt (1977:136) puts it, 'He [the author] intends them to share his wonders, amusement, terror, or admiration of the event. It would seem to be an interpretation of the problematic event: an assignment of meaning and value supported by the consensus of himself and his hearers'. In short, constructing the meaning, contemplating, evaluating and responding are different illocutionary forces in terms of viewers' *interpretation* of acts in film.

3.5.4 The narrator's act of telling

Pratt (1977:205) defines the unmarked case of the narrator's SA as addressing an audience a narrative locution, whose point (force) is 'display' and whose relevance is 'tellability'. Here, tellability refers to assertive or representative SAs which represent a state of affairs that are held to be as unusual, contrary to expectations, or otherwise problematic (p. 136). Among tellable SAs, *narrating*, *recounting*, *describing*, *generalizing*, *opining*, *characterizing*, *identifying*, *attributing* and other locutions with the representative illocutionary force are the narrator's primary SAs in a narrative discourse.

In film, aspects of *mise-en-scène*, cinematography (e.g. lighting and camera movements), musical score, editing, and also VI (voice in) and/or VO (in case it is used as the verbal narrator to convey the story) are various channels through which the film

story is narrated (Kozloff, 1988; Chatman, 1990; see also 1.5.2 for VO and VI). Film scholars such as Branigan (1985) and Kozloff (1988) maintain that behind all these narrating agents, there is another presence, the real author (filmmaker), or in Metz's (1974) term, the 'grand image-maker', that supplements the formal narrator's viewpoint and knowledge¹. In fact, with regard to verbal and visual functions that film narrators perform in narrative film, we can specify different SAs for cinematic narrators.

Among the film's narrating agents, camera and verbal narrator are believed to be the concrete manifestations of narrating act. In the current study, 'voice' is used as a generic term for the verbal narrator whose voice is heard in film. I also distinguish between VO, as the unseen and omniscient narrator and VI, as the character-narrator, in terms of the space from which the voice is assumed to originate. As discussed in the next section, such a distinction helps us to allocate the precise functions of SAs produced by these two types of narrator and the narrating functions they fulfil in film text.

Voice

Voice refers to speech or other overt means through which narrative events are presented to viewers (Chatman, 1978). Films utilize VO and/or VI narrations as a primary means of making viewers aware of the story and characters by conveying all or parts of the story verbally. *Telling, remarking, stating* and *recounting* are prototypically the macro SAs performed by VI and/or VO narrators, who are formally defined as seen/unseen speakers situated in a space and time other than that simultaneously being presented by the images on the screen and conveys any portion of narrative in the form of oral statements (Kozloff, 1988:5). Once the presence of a narrator is established, the entire film serves as a kind of 'linguistic event' (Smoodin, 1983); that is the speech event of narration, or in Pratt's (1977) words, the act of reporting/recounting the tellable assertive locutions. Within the VI/VO narrator's prototypical SAs, such as *narrating* and *recounting*, *displaying* and *telling*, other local SAs, such as *describing*, *opining*, *characterizing*, *identifying*, *attributing* can be identified. In other words, the narrator's inclusive SA of narration encompasses other local SAs.

¹ Making images encompasses all the selecting, organising, shading, and other constructing processes that go into the creation of a narrative.

In terms of narrative levels from which the narrator performs the act of narration, Genette (1983) distinguishes between homodiegetic and heterodiegetic narrator as the most typical voices that films utilize (see 1.5.2). A homodiegetic narrator (or character-narrator) is internal to the diegesis or the story world and the events that exist within it (Genette, 1983), and this is consistent with VI narrator, whose voice is heard from within the diegesis. A homodiegetic narrator performs a variety of ‘character-bound SAs’ since characters’ and narrators’ functions both resonate in their discourse (Bernaerts, 2010:282). In John Ford’s *How Green Was My Valley* (1941), Hew Morgan recounts the story of his family, a Welsh mining family, and their struggle to survive through unionization, strikes, and child abuse. As they do so, their hometown and its culture begin to decline slowly. As a character/narrator, Hew’s narration involves different illocutionary forces: He *addresses* the implied viewer and performs the typical SAs of a narrator, such as *narrating* and *recounting*. As a character, and at the level of character-to-character, he interacts with other characters, and thereby, he performs various SAs, such as *requesting*, *promising*, *offering*, *apologizing*, and etc. In fact, there is a wider range of illocutions open to a character-narrator than a mere narrator, or character; as s/he functions at two different levels of film discourse.

A typical example of a film narrator is when the VO or the heterodiegetic narrator (or a narrator who is outside the diegesis), explicitly functions as the ‘old-timer’ narrator and begins the story with the stereotypical ‘Once upon a time’ style of traditional storytellers. In fact, the term VO can aptly be applied to such out-of-diegesis narrator, as they produce the oral narration off-screen and their voice is temporally and spatially different from that of the narrative space and time.

The narrator’s various forms of narrating locutions can be accompanied by the ‘visual enhancers’ (Desilla, 2012:55), which are non-verbal signifiers that play a supplementary role. The narrator’s act of narration and the perlocutionary force of being told a story may also be reinforced while the visual representation of the act of narration hits the screen. For example, in the opening sequence of Lars Von Trier’s *Dogville* (2003) the words ‘*the film Dogville as told in nine chapters and a prologue*’ are inscribed on the screen to enhance the narrator’s illocutionary act of *narration* and prepare the viewer to conceive the film’s narrative word. In fact, the words *chapter* and *prologue* corroborate the force of narrating by activating the schematic knowledge of typical fictions, as they usually consist of a prologue which followed by chapters. In addition to the act of narration, *Dogville*’s narrator performs other SAs, including

interpreting, judging, and generalizing, all of which exceed the narrator's typical SAs, such as *narrating* and *describing* with different illocutionary forces. Here, different types of the VO narrator's SAs and the functions they fulfil in the film narrative are discussed:

The heterodiegetic VO narrator, who is always off-screen and whose identity is never revealed tells the story of an abandoned city called *Dogville*. The considerable bulk of the story, as well as the major information about the place and characters' background, are conveyed through SAs other than *narrating*; without which viewers' knowledge would be insufficient regarding the story, setting and characters. At some points, the narrator *interprets*. The act of interpretation frames any explanation, which attempts to account for something in terms of the story itself without going outside it. The narrator's interpretation can bear the illocutionary force of *identifying* and *depicting* the characters and places through giving an explanation about them. The SA of *identifying* entails that "a" is said to be "b", where both "a" and "b" are entities. Despite the varied grammatical structures, the following interpretive locutions are marked with the illocutionary force of identification, in which the narrator introduces the character:

Tom was a writer, at any rate, by his own light. His output as committed to paper was so far limited to the words "great" and "small", followed by a question mark, but nevertheless meticulously archived in one of his many bureau drawers.

Here, the narrator identifies Tom as a writer and gives viewers some explanation concerning his aspirations as a writer. He also clarifies which type of writer Tom is. Thereby, viewers infer Tom's social role as a writer, as well as his personal attributes and traits: Tom is an intuitive writer, diligent and persistent as although his works are not great, he tries to archive them carefully. The character's membership in social groups (he is white and lower-middle-class) is also inferred from the visual plane (see 2.5.3 for discussion of social categories). Based on the narrator's interpretive locutions, viewers also infer that he is not an eccentric type of writer, whose job is just restricted to archiving his modest works.

Similarly, while the VO narrator explains '*Tom's father had been a doctor and now received a modest pension,*' he introduces Tom's father and informs viewers of his current situation. At the same time, we see Tom's father sitting on a chair and reading Mark Twain's *Tom Sawyer*. The narrator's explanation reinforces our impression about

Tom's father. Even the visual plane, which frames an old man sitting in an armchair reading a novel, would be insufficient without the narrator's explanation to describe his current condition as a pensioner. As these two examples show, the narrator's SA of interpreting with the illocutionary force of *identifying* and *attributing* and *describing* contributes to indirect character depiction.

The narrator's interpretation may explain that which no character has occasion to explain, because of ignorance, inarticulateness, dramatic impropriety (Chatman, 1978:240). In one scene, Tom reminds Olivia (a local girl who works as an organ player in the chapel) of a meeting due tomorrow:

(Tom) *Don't forget for the meeting tomorrow.*

(Olivia) *No-o-o-o.*

(Narrator) *In order to postpone the time at which he would have to put pen to paper in earnest, Tom had now come up with a series of meetings on moral re-armament with which he felt obliged to benefit the town.*

The narrator *interprets* Tom's chat with Olivia and explains what it meant to be held for. Tom could not give an explanation about the meeting, as Olivia is assumed to be already informed about it. Moreover, if Tom gave a detailed explanation about the meeting, it would be dramatically excessive for his character, as the screenwriters have been advised not to convey the narrative information through overusing characters' dialogue (see Kozloff, 2000). Thus, the narrator clarifies what was indicated by Tom and gives further explanation, as due to the dramatic consideration, the characters (Tom and Olivia) have no opportunity to mention.

At some points, the narrator achieves moral evaluation through the SAs of *judging*. The examination of the details of statements, their syntactical forms, and their illocutionary forces turns up some useful particularities: the narrator makes overt judgment voices about the residents of *Dogville*. His evaluative locutions take different grammatical forms: some of such SAs of *evaluating* and *judging* are carried out directly, for example, '*The residents of Dogville were good, honest folks and they liked their township*', and '*Most of the buildings were pretty wretched more like shacks, frankly*'. In such assertive locutions, the narrator not only characterizes the locals and what belongs to them (their town), he also expresses his view toward them and the place they live by descriptive adjectives drawn on conventional moral norms, such as good,

honest, pretty wretched, which reflects the narrator's (or implied author's) 'model beliefs' (Chatman, 1978:241) by mentioning and emphasizing certain values.

Having discussed how the narrator's SAs are not merely restricted to narration and may encompass other SAs, such as *interpretation*, *identification*, *attribution*, and *evaluation* and etc. with different illocutionary forces, the next section deals with the camera as another narrating agent in film.

Camera

With regard to camera's ability to *show* and *visualize* events and phenomena, we can think of camera's generic SAs of *representing*, *depicting*, and other variations which, in terms of illocutionary force, involve similar functions. As the unvoiced, visual narrating entity in cinematic narration, camera *identifies*, *characterizes*, *describes*, *recounts*, *reports*, *depicts*, *represents*, *emphasizes* and *de-emphasizes* aspects of image through cinematic shots created by different camera distances and levels. In films whose story is narrated through the voice of a narrator (VI/VO), the camera performs the SAs corresponding to those of verbal narrators with similar illocutionary force, but it performs this through the visual channel. For instance, in the opening sequence of *Dogville*, the visual plane in tandem with the narrator's SAs of *identifying* and *depicting*, *describes* and *identifies* the setting in which the story takes place, by using an aerial shot of the village, Dogville. In this way, the SA of *identifying* and *depicting* are performed both verbally and visually.

Based on Gaudreault's (1987) account of camera as a narrative agent, two distinctive illocutionary forces can be specified for camera's narrating act, namely '*narration*' and '*monstration*', as the act of achieving a cinematic story through showing, recording setting, and trying to provide concrete information in relation to characters and events, within which other SAs, such as those pointed out earlier about the narrator, can be identified.

The camera's act of *narration* refers to the function of character representation, in which the camera is motivated by a need to serve 'character filtration' (Branigan, 1992:45), meaning that the camera acts as a filter to show characters, their acts and attributes. A typical character filtration is when the camera (movements) achieve(s) character's point of view through 'subjectivity' in cinematic narration; in Branigan's (1984) words, 'where telling is attributed to a character in the narrative and received by

viewers as if we were in the situation [point of view] of character' (ibid., p.73). For instance, in Martin Scorsese's *Taxi Driver* (1976), the camera, as the external focalizer (the perspective through which the story is narrated) constantly brings the character of Travis Bickle into focus. Travis is in-frame whenever the camera functions as narrating camera. Focalizing the character is achieved through different camera movements, all of which contribute to the characterizing function, and are as follows:

1. *Steady camera* (when the camera is positioned in a stable place). When Travis is in close spaces, such as his room, or in the restaurant where he eats, the camera captures him from a fixed point of view.

2. *Moving camera* (when the camera follows the character). When Travis is wandering around New York's streets, or when he goes up and down the stairs in the brothel, the camera follows him and frames him from different angles and levels.

3. *Point-of-view shot*, (when the camera coincides with the perceptual point of view of the character, so the viewer can identify with the character, as they experience events). The camera, therefore, becomes internally focalized, as the framed events reflect the subjective perception of the focalized character. When Travis follows the prostitutes on the street in his taxi, we experience the event through his eyes. In fact, the filmmaker identifies our vision with the characters through positioning the camera's lens alongside Travis, to show us what he is seeing. Such subjective camera work is employed intermittently throughout the film to support the story through character's point of view.

All such camera work function as character(s)' filtration. The illocutionary forces of such camera acts are *capturing* and *showing* the characters' acts and attributes, in other words, to *describe*, *identify* and *narrate* Travis' character.

In addition to camera's narrating function, 'monstration' is the act of achieving a cinematic story through showing specific visual cues. Monstration, in Johnson's (1993:49) words, is 'when the camera *wanders* on its own, detached from supporting the story through a character's point of view' and gives us visual information directly'. Therefore, the camera produces an illusion of presence for the viewer through carrying out SA of *monstration*, whose illocutionary force is revelation and projection with no logical place in the story's timeline and space. In other words, by *trying* to be denotative, the monstrative camera records the setting, and provides concrete information in relation to characters. Here the verb *try* is used, as the researcher does not believe that the apparatus of cinematic narration, including camera movements, can

be purely objective and denotative. There is always a degree of subjectivity, which might be associated with the ideological or interest point of view of the filmmaker(s). Such im/explicit subjectivity is prevalently present in *auteur* films, which indicate the idea of a creative artist as the source of meaning, and so is intended to be read as the work of an expressive individual or an *auteur* (Cook, 1999, also see Appendix 1). In fact, the monstrative camera provides traces of enunciatory activity, a point of view from which we can assign film authorship, for when we witness monstrative camera, we witness cinematic narrative discourse at the enunciatory level that reveals traces of authorial activity (Johnson, 1993:49).

An instance of monstrative camera is in Michelangelo Antonioni's *Eclipse* (1962). Vittoria, frustrated and doubtful, leaves Piero's office. Having been shoved by two passengers, she approaches a dilapidated shop from where we can see her through the fence. After a few seconds, she turns back with an expression of despair visible on her face and leaves slowly. At this point, the camera, which has been pointing to Vittoria's situation and distress, pulls away from the character's focalization and characterizational function and pans up the fence and the trees. The monstrative movement halts as the camera pans down to capture the character and resumes its narrational function, and once again filters Vittoria as she looks around with an expression of vacillation in her face. From when the camera detaches from the character's focalization until it re-attaches, we have a brief exposure to the monstrator's point of view, or a 'revealed point of view', in Johnson's words (1993:51). For a brief moment, a narrative-level shift occurs and the viewer becomes aware of the monstrative presence of the camera. By detaching itself from the task of showing the story through focalizing the character, the camera gives us visual information directly, which is different from that provided by the character's focalization.

It can be concluded that camera, as a narrating agent in film, is capable of performing a variation of different SAs, which typically involve *identifying* and *describing* characters and their attributes, as well as *monstrating* through *recording* and *capturing* the place and location in order to provide concrete information in relation to setting. In fact, the camera's function of *narration* and *monstration* can be described as camera's SA performed visually. In fact, the schematic approach to SA allows us to assign different variations of the SA of narration to camera (see 3.3.3).

3.5.5 The SAs performed by characters

Characters use language to perform acts; to argue, to make love, to carry out business, to cogitate, to promise, to make commitments, to lie, and so on, always within the boundaries of the story world (Chatman, 1978:166). Kozloff (2000:41) points out that actors have long been taught that in each ‘beat’ of dialogue, a character is performing an action: for example, X is trying to persuade Y to do Z, in a sense that actors’ dialogue is abundant with verbal acts and they continuously carry out SAs as they perform their dialogues. As discussed in 1.5.2, models of film as mediated discourse (Short, 1989; Clark, 1996; Bubel, 2006; Chatman, 1978) hold that characters directly or indirectly interact with other characters, and thereby they perform SAs.

Characters’ interaction is not only restricted to character-to-character level, and they may communicate with other levels of film discourse, including character-to-implied author, character-to-narrator and character-to-implied viewer. In all these levels a wide range of SAs with various illocutionary forces are performed. For instance, on character-to-implied viewer level, characters may turn to the camera and talk to the (implied) viewer (who is assumed to watch them) and thereby *address* them. In theatre, the use of direct audience-address is one way of disrupting stage illusion, in which the audience can no longer have the illusion of being the unseen spectator at an event which is really taking place. By audience-address the ‘distancing effect’¹ is generated, that is ‘playing in such a way that the audience was hindered from simply identifying itself with the characters in the play’ (Willet, 1964:91). This performance technique has also been using in cinema. An example is Bergman’s *Cries and Whispers* (1972), in which the four main characters Agnes, Anna, Karin, Maria, at specific points, are positioned in front of the camera. Being shot in close-ups, they address the viewers and talk to them in long monologues. These episodes, which globally may function as the characters’ self-presentation to viewers (see 2.3.1, the suggested toolkit for character creation), corroborate this claim that characters not only interact with themselves on the character-to-character level, but also they communicate at other levels with the implied viewer. The interaction may also occur on both levels simultaneously. For instance, in a

¹ The origin of this term is Brecht’s (1936) *alienation effect* or the *estrangement effect* (German: *Verfremdungseffekt*) which he used in an essay on *Alienation Effects in Chinese Acting* (1936). There he describes it as the practice of distancing the audience from drama or the theatrical spectacle by means of detached episodic narration (interspersed with songs or ironic commentary by actors on the action and on the characters they are playing (also Kuhn and Westwell, 2012).

sequence Maria talks to Karin, her sister, and complains that they are not as intimate as they should be:

Maria: *Karin, I want us to be friends. I want us to talk to each other. After all, we are sisters...*

While she utters such locutions with the expressive illocutionary force of *complain*, she stares at the camera. Her addressee is not just Karin, her sister, but the implied viewer who is perceived as another target of her words. Such impression is made through Maria's position in front of the camera, in which she is framed in an eye-level, extreme CU shot. Such framing also fosters the impression that the camera can be assumed as both Karin and the implied viewer. Thus, the interaction is carried out on two levels at the same time; character-to-character, and character-to-implied viewer. The global SA of *address*, which is targeted at both addressees (Karin and the implied viewer), is also performed visually through the *vectors* which connect Maria (as the *actor*) and Karin, and the implied viewer (as the *goals*) and establish the direct interaction between the characters and the viewers (Kress and van Leeuwen, 1996). On intra-diegesis or character-to-character level – in which interaction occurs in the possible world of the story – Maria performs other local SAs such as *complain*, *blame*, and *accuse* in relation to Karin.

In the episode of Karin's monologue, in which she is captured/appears in an eye-level CU shot, she keeps silent and just stares at the camera. She carries out the SA of *address* visually, without saying any words. Her act is expressed multimodally, particularly by her paralinguistic behaviour: she turns to the camera and fixes her gaze on the camera. The characters' position in front of the camera and the specification of the frame (she is shot at eye level, CU) contribute to convey the SA of *address*.

Characters can interact with (homodiegetic and heterodiegetic) narrators. A good example of character/narrator interaction in film is the conversation between *The Stranger* (the homodiegetic narrator) and Jeff Lebowski (the main character of the film) in the Coen brothers' *The Big Lebowski* (1998). The homodiegetic narrator, The Stranger, appears occasionally, sits next to him and starts chatting with the Big Lebowski like an old friend. The Big Lebowski communicates with other characters: his interaction extends to another level of film discourse, that of the homodiegetic narrator.

In short, characters perform actions, both intra-diegetically, that is through the interaction with the story world, and extra-diegetically and with other levels of film

discourse, including the implied narrator, and the implied viewer. In film, the medium-specific elements are able to convey characters' SAs and/o reinforce the illocutionary force of their SAs.

3.6 Summary

Following the theoretical framework of the present study, this chapter discusses the pragmalinguistic knowledge as the third plane of viewers' prior knowledge. This chapter dealt with how film dialogue contributes to character identity construal and investigated how characters' pragma-linguistic behaviours cue viewers to make a particular impression and also how viewers' pragmalinguistic knowledge contributes to uptake, understand and interpret characters' verbal behaviours.

Next, the notion that a significant part of viewers' impressions regarding characters' identity is extensively made up of the characters' pragmalinguistic behaviour itself as individualistic properties of characters' speech and the social dynamics of their interaction is discussed. Characters' pragmalinguistic behaviour reveals their interpersonal relations and the way they perceive these relations. Accordingly, the viewers' pragmalinguistic knowledge comprises a fundamental part of film comprehension and thus, character impression formation. In this sense, film dialogues can be treated as real conversation and the linguistic analysis of film dialogue can be informed by the linguistic and pragmatic theories used for the analysis of real-life communication.

Following this, the chapter discussed that within such a framework, this research focuses on SAs produced at different levels of film narrative, particularly characters' SAs, and then narrators' SA, including voiced narrator and camera. SAs produced in dramatic and film discourse – especially characters' SAs – cue viewers to make inferences about characters' identity, their social categories and roles, as well as their interpersonal relations. However, due to the problems of classic SAT (Austin, 1962; Searle, 1969) and based on the fact that SAs have a conventional nature, SAs have been envisaged and described as cognitive schemas; a concept which allows us to consider different variations of the same SA. It was argued that SAs are produced and interpreted as the interplay of schematic world knowledge and the immediate context, however, theories of SA have failed to account for context in their specifications. Characters' SAs in literary, as well as drama-cinematic texts, are always context-sensitive, as context contributes to understanding the illocutionary force of utterances. Thus, to compensate for such limitations and in line with this study's cognitive framework, the cognitive

concept of ‘interactive frame’ (Tannen, 1993) was proposed in order to account for the interpretation of SA with respect to the immediate context in which a given SA is performed. Finally, a model for SAS for analyzing SAs in cinematic text was proposed, in which the role of multimodal aspects and cinematic devices have also been considered. It was also argued that by looking at different SAs performed by narrating agents (VI/VO narrator and camera), the functions of the narrator in establishing the plot and also in creating characters can be described. In film, the VI/VO narrator performs a wide range of SAs with various illocutionary forces, among which *characterizing*, *identifying*, *explaining*, *interpreting*, *opining*, *evaluating*, *judging*, and *generalizing* are of high importance. Camera, as another significant narrating agent, performs SAs of *narration* and *monstration* with different illocutionary forces ranging from *describing*, *narrating*, *explaining*, and *recounting* to *monstrating*.

Along with the two planes of schematic knowledge, conceptualized as social and film schema in chapter 2, the suggested model for SAS – as the third plane of the cognitive model – as well as the levels of SA in narrative film, will be applied to the excerpts of selected films to investigate how viewers’ schematic knowledge can contribute to the impression(s) they form about film characters.

4. Methodology and Design

4.1 Introduction

This chapter presents the research methodology, its cognitive framework (outlined in 2.1, and its specifications are described in Chapters 2 & 3) and proposes a toolkit for character impression formation (2.3.1). The suggested toolkit, which takes into account the medium-specific characteristics of film – including audiovisual qualities, style and techniques – involves a generalised two-part checklist of different elements as devices for character creation: direct/explicit presentation and indirect/implicit presentation. The chosen films, as the datasets, are analyzed to examine how the characters are created and presented by means of the checklist's devices. Relying on the role of viewers' prior knowledge which is stored as schemas, a cognitive model was suggested in Chapters 2 and 3 which maintains that the cognitive process of character impression formation entails the activation of prior knowledge including social, film and linguistic schemas. The cognitive framework is inscribed within the theories and analytical framework of cognitive stylistics, whose main concern, as McIntyre explains, is 'hypothesising about what happens during the reading [and watching] process and how this influences the interpretation that readers [as well as viewers] generate about the texts they are reading' (2010:126).

In examining the research on the cognitive processes involved in comprehension, two methodological concerns must first be addressed: firstly, research on the comprehension process is mostly probabilistic as it concerns a typical or 'model' viewer's cognitive processes (see 1.2 for the specifications of 'model viewer' in this research). During the last three decades, in cognitive linguistics there has been a growing interest in empirical approaches and in examining the way real readers/viewers read, comprehend and respond to literary texts (for instance, van Peer 1986, Miall and Kuiken 1994, Miall and Kuiken 1998, Zyngier, Bortolussi, Chesnokova and Auracher 2008). Against the research trend, which follows a purely theoretical and interpretative approach, this empirical strand deals with the real, actual viewer who reads the narrative text or watches the film. Contrariwise, cognitive stylistic studies have dealt with abstract subjects rather than real and instantiated readers/viewers. According to Miall

(2006:292), the dominant focus of the research in cognitive stylistics has tended to focus more on an interpretation-and-analysis approach than an empirical, experiment-based one. This is mainly because the paradigm within which literary texts and film have been traditionally studied, has ruled against the experimental approach and these studies simply make assumptions about the cognitive processes in which viewers/readers are assumed to be engaged (ibid, p. 292). As a result of considering readers/viewers as abstract subjects, cognitive stylistic studies have mostly been probabilistic; they predominantly *hypothesize* about the model readers'/viewers' cognitive processes through which they comprehend text and arrive at understanding of it.

The second concern is that the analyst can hardly specify the stimulus from which viewers possibly draw their inferences. In a cognitive process, viewers can continuously loop back to the beginning of the process until they make a decision that no further assessment is needed. Hence, the analyst cannot specify the exact point on which a given impression is formed; they would inevitably trust their intuition and postulate/hypothesize about the precise textual stimulus. Moreover, constructing impressions about characters in viewers is a progressive and developmental process and character construal is not merely restricted to a few scenes. Different (and even paradoxical) aspects of a character's identity tend to be revealed gradually across various scenes. Character information, attributes and functions are continuously accumulated, revised and modified in the course of watching film. Concerning the progressive and cumulative process of character impression formation, Emmott (1997) contends that 'as the narrative progresses, time is always moving onwards and new events are encountering, so the character representation is constantly changing, with new past 'personalities' being constantly added' (p. 181). However, due to space limitations, the present study will inevitably focus on a selection of relevant scenes, although it does refer briefly to other scenes when necessary.

With regard to the aforementioned methodological concerns, this research makes a concerted effort to diminish the abstractness and the subjectivity of interpretation resulting from the total reliance on analyst's self-interpretation by taking into account the concept of 'the preferred readings' (Piazza, 2010; Desilla, 2012). The preferred reading (or preferred interpretation) refers to how film communicator(s), including filmmaker(s), film experts (including film critics) and academic analysts expect the viewers to understand the film. It should be noted that the analysis of

comprehension procedure primarily relies on the researcher's interpretation of the film, however, to avoid purely a subjective interpretation and to establish a balance between the interpretation and the 'preferred interpretation', other sources which reflect on films and offer different readings are also considered. These sources include the published reviews and criticisms in film journals, and also film weblogs and online reviews as well as online synopses. Additionally, the director's commentary accompanying the DVD of Criterion Collection – which is included as part of the special features accompanying some DVDs – is also used as an important source of preferred reading. A director's commentary, according to Desilla (2012:39) is indicative of the filmmakers' desire to see their communicative intentions recognized by audiences. Drawing on filmmakers' preferred interpretation and the other academic or cinephilic interpretative sources provide the researcher with different readings, or as Barthes (1977) calls them 'closures' of the film under study. The present study posits that by relying solely on a(n) (inevitably) subjective interpretation of a particular dialogue would limit the accuracy and scope of the resultant analysis, and hence, a range of different readings of the film are taken into account which will allow for less-biased interpretations to be reached.

As a methodological note, it should be mentioned that in the analyses, selected aspects of characters' verbal (SA sequences) and non-verbal behavior (multimodal properties including paralinguistic behavior, such as body movements, facial effects, multimodal aspects, film style and techniques such as camera work and *mise-en-scène*), which contribute to the identification of SAs and their illocutionary forces, are analyzed and interpreted according to the specifications of the immediate scene. In other words, the linguistic and multimodal resources are interpreted as a complex multimodal ensemble, in the sense that the transcription of duologues and their 'functional interpretation' (Toolan, 1998:146) or how SAs are *uptaken* according to the context¹, are carried out in relation to a particular scene in the film. This is important as multimodal aspects, and paralinguistic behaviours (such as smiling, staring into space), and film style and techniques (such as close-up shots, lighting and musical score have no set meanings) have no stable meaning and they need to be looked at and interpreted as they co-occur with other modes.

The following sections describe the methodology of the research. The films, as this study's dataset, and the rationale underlying the choice of films and scenes are

¹ In other words, the context determines the illocutionary force of the intended SA.

discussed in 4.2. As will be discussed further in this section, it should be emphasized that although the same methodology is applied to the analysis of the three films, specific attention is paid to the marked aspects of each film. In other words, the films are analysed with respect to the specifications of the suggested model, however, their distinct features receive specific attention and are discussed in depth and detail. Accordingly, considering the fact that the films are analyzed based on the same methodological procedure discussed in 4.4 – the distinctive specifications are pointed out here. Section 4.2.1 deals with *The Piano Teacher* (2001) and how the complex protagonist allows an insightful, multimodal analysis of character impression formation. Section 4.2.2 discusses *Autumn Sonata* (1978) and how the multimodal representation of characters' SAs confirms the suggested claim presented in 3.3.3 that SA can be performed both verbally and non-verbally, through other semiotic models. Section 4.2.3 discusses *Ten* (2001) and how the film narrative – which deviates considerably from viewers' narrative schema – is comprehended. Section 4.3 discusses the design of the current study as the overall strategy and the blueprint for its procedure and analysis of data. It also explains multimodal transcription as the present research's main methodological toolkit. Section 4.4 deals with the procedure of research and explains the different methodological steps used in the analysis in detail. Section 4.5 tackles how the chosen sequences are analyzed based on the suggested models using multimodal transcription. Finally, the major points of the chapter are revisited and outlined in Section 4.6.

4.2 Dataset

The dataset used in this study is comprised of three foreign art films. As explained in detail in Appendix 1, art films usually tend to deviate from the conventional style of filmmaking in terms of characterization, cinematic devices, narrative and genre. The comprehension of such films is cognitively much more demanding for viewers in comparison to mainstream films, especially Hollywood films, which exhibit more conventional and hence more expected structures in terms of characterization, genre, narrative and stylistic features. In the course of watching art films, viewers' schemas – especially narrative and characterizational schemas – are usually disrupted. As the theoretical focus of this research is on the role of social, pragmalinguistic and film

schemas in film comprehension, the complex structure of art film – in terms of characters, narrative, *mise-en-scène* and cinematography – in which deviation from conventions is a paramount norm (Bordwell, 1985; Cook, 1999) makes it a rich text for cognitive stylistic analysis.

Three art film are chosen for analysis: *The Piano Teacher* (Michael Haneke, 2001), *Autumn Sonata* (Ingmar Bergman, 1978), and *Ten* (Abbas Kiarostami, 2001). The reason for choosing these is that while they all involve the common generic characteristics of art film, each of them exhibits and highlights a specific, marked characteristic of this genre, such as non-conventional narrative, hard-to-categorize and multi-dimensional characters and unusual use of cinematic devices: in *The Piano Teacher*, the protagonist's deviant character – which is gradually revealed through her encounters with other characters – disrupts the viewers' social schemas. In *Autumn Sonata*, music, as an element of *mise-en-scène*, is used not only to set and intensify the emotional atmosphere of the film, but it is also employed as a means of character construction and development; that is, characters' expressive acts are performed through both language and non-linguistic, cinematic means such as music. In *Ten*, the complicated narrative structure of the film prevents viewers from using canonical narrative schema to follow and comprehend the film's plot. A summary of the films and a discussion on their directors is provided in related Appendices. In the following sections, the marked features of the films and the rationale for choosing them are discussed further.

4.2.1 *The Piano Teacher* (2001) Michael Haneke, France

The Piano Teacher (2001) is one of Michael Haneke's most controversial films (see Appendix 2 for more information on the filmmaker's cinema, themes and stylistic features). The protagonist, Erika, a middle-aged piano teacher, is multi-layered, and, as the film progresses, begins to exhibit inconsistent and contradictory characteristics. She is a challenging case for cognitive stylistic analysis in terms of impression formation as viewers' stereotypes and expectations which they would typically attribute to such a professional given her personal and social standing as a gifted piano scholar are set up to clash considerably with her true nature when it is revealed. Two sequences are chosen as excerpts for analysis.

The first excerpt – the opening scene – is an encounter between Erika and her mother, with whom she lives. Erika and her mother's interpersonal relationship is highly revealing, as Erika spends most of her free time with her mother. As the longest sequence in the film featuring the mother and daughter, it involves a harsh verbal and physical conflict in which different types of SAs are exchanged and communicated. This sequence gives rise to viewers' initial schema activation and the viewers' first impressions of the main character's social and personal characteristics form.

The second excerpt – in the middle of the film – is set in a women's restroom. It is the first private encounter between Erika and Walter, her young lover. The sequence involves a significant revelation in Erika's personality and hence, causes a substantial schematic clash in viewers' impression of her. It is the point at which Erika's deviant behaviour in relation to her lover is disclosed. In this sequence, Walter figures out that Erika is not a normal woman with typical female desires. The way she responds to his love proposal repulses him, and from then on, their relationship worsens dramatically. In addition to character revelation value, this sequence provides a rich example of how different character-presentation tools, including film style and techniques such as color, light, camera effects, setting, context and framing, as well as paralinguistic cues (for instance facial expressions, eye vectors and posture) can create characters and co-contribute to viewers' impressions of them (see the suggested checklist for character creation in 3.3.3). This sequence does not involve much dialogue and the characters' communication is largely carried out through visuals, which illustrates how multimodal aspects give rise to specific interpersonal meanings in the absence of dialogue. These two sequences serve as the turning points in construing Erika's character.

4.2.2 *Autumn Sonata* (1978), Ingmar Bergman, Sweden

Following art film tradition in which the narrative often revolves around characters who are undergoing some form of life crisis (see 2.6.1), *Autumn sonata*'s narrative chronicles a slice of a mother's and daughter's lives. Through practising what Bordwell (1985) calls 'the boundary situation', the character and their inner life are dramatized in much more detail than in a classical narrative film, whose reliance is more on plot and event. As an art film, *Autumn Sonata* does not revolve around events; the plot is simple and thus, actions play no significant role in the narrative progression

of the film. According to Phelan (1989), progression in narrative is defined in terms of instabilities in the story world and tensions in its narrative transmission. In *Autumn Sonata*, the decisive tension and imbalance can be identified in characters' sequences of verbal actions or SAs, including *bragging*, *accusation*, *confession*, *apology* and the consequences (the perlocutionary effects) such as hatred and defence which these verbal acts produce. In fact, the progression of the film narrative can be described as a verbal battle between mother and daughter resulting from a conflict which has always been kept hidden.

Autumn Sonata yields enough material to reinforce the proposed claim about SAs, illocutions (the intended meaning) and how they combine to create and represent characters in the suggested checklist for character presentation (see 2.3.1). In fact, when we put the pieces of SAs performed by the mother (Charlotte) and the daughter (Eva) together, we notice how the impressions we form about them are fueled by their SAs carried out linguistically and non-linguistically and by means of the film's musical score. In other words, as it is claimed about the characterizing function of music in the suggested checklist, here characters' dispositions, emotions and attributes – which are typically disclosed through their SAs – are assumed to be expressed and communicated through the music they play for each other as a semiotic (non-verbal) resource of meaning-making. In addition, in terms of the levels of SA in film discourse, the whole film is assumed to be narrated by Eva's husband as a 'homodiegetic' narrator (Genette, 1983; see also 3.5.4) or a character-narrator and this adds another level of SA to the film's discourse. The following film sequences are chosen for analysis:

The opening sequence sets the scene. Eva, the main character, is introduced by the homodiegetic narrator – her husband – who is assumed to narrate the whole story, as he occasionally appears to narrate or comment on events. He draws on different types of SAs to tell the story and introduce his wife. In this sequence, the viewer is encouraged to form their initial impression about Eva.

The mother and daughter's piano-playing scene which comes almost at the beginning of the film indicates the first sign of change in the mother-daughter relationship. Eva regards her mother with mingled amusement and suspicion. Suspicion turns into hostility, and gradually, Eva rebukes her mother's self-secured authority. The first sign of such a change is boldly evident in this sequence in which mother and daughter play a Chopin prelude for each one another. The characters express their feelings toward each other non-verbally and by means of the same piece they play,

through which each one's interpretation reveals/discloses their hidden emotions in relation to the other. This scene also corroborates how viewers' SASs are exploited in understanding and interpreting the character's SAs non-verbally, multimodally, and via the use of other semiotic resources. Moreover, these two sequences function as a turning point in viewers' impression about the mother and daughter, as the initial clashes between them are revealed both non-verbally (through the piece of music they play) and intensified verbally in their subsequent dialogue.

The second excerpt is the duologue which follows the mother and daughter's piano-playing scene. This scene is highly revealing because it functions as the verbal extension of their former expressive act of playing the piano. Here, the mother remarks on her daughter's performance. The characters' SAs and their illocutionary force(s) provide rich characterization, through which viewers' tentative impressions about the characters' tormented interpersonal relations are further developed to confirm their initial assessments of the characters.

4.2.3 *Ten* (2001), Abbas Kiarostami, Iran

As a digitally-shot feature film, *Ten* is a challenging film in terms of narrative and cinematic style that also represents a radical departure from Kiarostami's preceding films (see Appendix 5 for information on Kiarostami's work). The film's significant value lies in the fact that it is considered as a 'new direction' for cinematic storytelling (Munt, 2006) and investigates a new way of cinematic narration in a digital context by the use of DV (digital camera) and represents a transformation of the conventional narrative form.

Ten, which practices a serial, episodic narrative structure, involves ten thematically related episodes. The film's principle narrative tells the story of a mother, Mania, and her son, Amin, as the protagonists. The story of Mania and Amin is disclosed via a series of four separate car trips. Mania and Amin's episodes, which together constitute a *narrative*, wanders off in unexpected directions. The other episodes which are ill-formed narratively speaking, feature different encounters between Mania and a random selection of people – including her sister, a religious woman and a jilted girl. Mania is actively present in all the episodes and her presence prompts viewers to consider the story as a complete narrative of 'the story of Mania'. Therefore, *Ten* is distinguished by its challenging narrative since viewers may have difficulty in

constructing a coherent story based on their own narrative schema. In fact, viewers may find themselves no longer able to draw on their narrative schema to follow the film's narrative, as the episodic structure of *Ten* demands viewers to be more cognitively active and look for procedural schemas to understand the narrative.

In terms of the film's style and technique, *Ten* is shot on two steady DVs mounted in the front of the car. The cameras' position creates autonomy in narration and character creation, as their acts, effects and movements are not motivated by the director's instructions. This innovative and non-conventional use of camera as a narrating agent is much highlighted in the absence of the director since its describing and narrating acts add another level of SA to the film discourse. In such a situation, the camera's functions are no longer limited to the conventional acts of camera, such as narrating, and they involve other unmotivated acts such as characterizing and describing, which were not envisaged by the director.

In addition to the marked aspects of narrative structure and film style and techniques, the main characters' dialogue is also revealing in terms of their use of SAs and the conversation structure. In addition to the characters' reliance on specific SAs, which exhibit specific patterns of illocutionary force(s) and disclose their dispositions and intentions, conversational aspects, such as topic changes and systematic disruptions to speaker's turns are highly significant. This is because they reveal a critical power struggle which is rather marked with respect to the characters' social roles. The characterizing value of aspects of conversation structure is also envisaged in the suggested checklist for character creation and representation (see 2.3.1), in which aspects of conversation structure, such as turn distribution, disruptions and topic control are categorized as implicit cues of characterization.

Two excerpts from the opening sequence (Episode 10) are chosen for analysis: The first excerpt is taken from the opening moments of the film, in which characters are introduced and viewers' initial impressions are formed. In this scene, the demanding interpersonal relationship between Mania and Amin is revealed in their SA exchanges. The other analytical value of the opening scenes is the mechanism of the camera work: Mania, as the main character is not seen until minute 16 and, prior to this, she is only perceived through her voice, the SAs she exchanges with her son in their duologue and Amin's immediate facial and physical reactions to Mania's words. In addition to the characterizing functions of the opening scene, it also provides an insight into how a character is created and construed through camera work and effects and how character's

company and their paralinguistic and pragmalinguistic behaviours, particularly SAs, contribute to how viewers understand and form impressions about an off-screen character.

The second excerpt is chosen from the middle of the same sequence (Episode 10), in which the tension between the mother and son comes to a head. This excerpt includes the narrative components of an initiating event (the event which raises viewers' awareness about the current situation), and a goal (Mania's emotional response to Amin's accusation).

4.3 Design

The present study is a descriptive and interpretive case study, and the selected films are analyzed using qualitative analysis methods and interpretation by applying the suggested toolkit for character impression formation (2.3.1) and the suggested cognitive framework for character impression formation (2.1) to address the project's aims and RQs (1.3).

The methodological tools used to analyse the data includes a multimodal transcription. Before discussing this procedure, the significance of multimodal analysis and multimodal transcription, we discuss the main methodological toolkit for a qualitative analysis of film from which this research benefits.

4.3.1 Multimodal transcription

The analysis of the three films considered by the present research is informed by multimodal analysis, whose aim, following Kress and van Leeuwen (1996) seminal study is to consider text as an ensemble of different communication modes all of which contribute to meaning-making and in particular to characterization (1.5.1). In the context of research, the multimodality of film communication has important methodological implications. In multimodal studies, as Desilla (2012) believes, the contribution of every modality to the understanding of characters' dialogue should be systematically and clearly acknowledged. If a thorough understanding of the role of linguistic elements – for instance, characters' SA – is to be effectively illustrated, the mere transcription of spoken dialogue, as a means of data presentation, would be

unlikely to yield insights into the polysemiotic context of film (p. 36). However, by segmenting the film scenes into frames as the smallest constitutive units, multimodal transcription can efficiently capture the contribution of the visual plane, e.g. the aspects of *mise-en-scène* and cinematography, as well as characters' kinetic action, by which it can clearly lay out the contribution of all film modalities to the creation of meaning and characterization. The present study, in its analysis of the film excerpts, uses Dessila's (2012) modified version of Baldry and Thibault's (2006) methodological tool of multimodal transcription. By avoiding a consideration of an all-encompassing account of the film's visual aspects – which sometimes produces redundancy in analysis – the comprehensive multimodal toolkit proposed by the current study is modified and restricted to the 'perceptually salient' elements (Baldry and Thibault, 2006), which include those elements that seem to play a pivotal role in meaning making (p. 183). In the current project, the perceptually salient elements include aspects of cinematography, *mise-en-scène*, and characters' kinesics and paralinguistic behaviour – all of which contribute to characterization.

4.4 Procedure

Two or three selected scenes/sequences from each of the three films examined in this study were chosen based on the assumption that each excerpt should effectively address different aspects of the theoretical framework in order to convincingly address the research questions formulated in Chapter 1. Each analysis begins with the opening scene of each of the three films and is followed by another significant sequence in each film. In the current study, the selected scenes are referred to as excerpts. The rationale for choosing the opening scenes is that, since they are the beginnings of the three chosen films, the filmmakers would not be making any assumptions about the amount of background knowledge the viewers may have regarding the characters. In addition, since the purpose of the opening scene of a film is usually to draw viewers into the narrative and characters, key (and sometimes most) character information is conveyed in the opening sequence. Also, the viewers' initial impressions about characters are formed at the beginning of a film, where they are introduced to the characters and begin activating the relevant social schemas to make sense of them in context.

The procedure the current project adopts is briefly outlined in the following steps, each of which will then be discussed comprehensively. The procedure is described in a way that each step addresses a specific part of the RQs in the analysis.

1. Describing and analysing the multimodal aspects, including film technique and style, the cinematic devices which contribute to character creation and the setting in which they appear.
2. Describing and analysing the film's narrative structure, the components of the narrative and how viewers *plausibly* comprehend it based on the narrative schema.
3. Describing and analysing the levels of SAs (the filmmaker's *creating/inviting* act, the narrator's act of *narrating* and most significantly the characters' SAs, as characterization devices, through which characters, their dispositions and intentions are revealed and developed by means of multimodal analysis.
4. Describing and analysing the cognitive process of character impression formation based on the findings from the earlier three stages and how the characters are plausibly comprehended by viewers.

Here, the steps and the precise way in which the analyses are carried out based on the suggested frameworks are discussed in detail:

The cinematic techniques and style

We begin with an overall description of the stylistic and cinematic choices based on the third category of the suggested multimodal toolkit for characterization (2.3.1). Film style and techniques include the multimodal aspects of cinematic devices such as framing (CU/LS/MS), camera work/effects (camera distance, camera angle, camera level), costume and make-up, setting and context (including characters' physical setting(s) and company), and musical score. Since these elements, which can be considered as different multimodal aspects, can implicitly create and present characters and cue the viewers' general impression of them, they need to be considered in research on viewers' character impression formation. It should be noted that in the present study, it is assumed that viewers' understanding of how the cinematic style and techniques work to make meaning is achieved by means of film schema: the unconscious knowledge and the literacy of cinematic norms and conventions structured and stored in the form of schemas in the viewer's long-term memory and which is acquired through

their various encounters with different film (2.7). In the analyses, the marked aspects of *mise-en-scène* (including characters' costume and make-up, setting, music) and camera work and their effects on character impression formation are discussed and analysed. The cinematic aspects are also discussed – when necessary – in the course of analysis, especially in the multimodal analysis of the film excerpts. Film schema involves particular (sub)schemas, including narrative schema. At this stage, the analyses addresses RQs 1 and 2 concerning the role of multimodal elements in characterization and viewers' perception of film's multimodal qualities and techniques reference to their film schema.

Narrative structure, description and comprehension

As discussed in 2.2.3, the current project takes a mixed approach to character and posits that fictional characters and their lives depend on the narrative world, in which they emerge. In addition to film style and technique (as different parts of film schema), this study focuses on how viewers perceive film narrative as the backdrop against which characters are created and developed, by means of their (viewer's) narrative schema. As defined in 2.7.1, narrative schema refers to an abstraction of narrative structure that embodies typical expectations about how to classify events. In its analysis of narrative structure, Branigan (1992) expanded Labov and Waletzky's (1967) narrative model with eight recursive components (abstract, orientation, initiating event, complicating action, goal, and resolution). The rationale for choosing Branigan's (ibid.) narrative model is that it is specifically proposed for the analysis of cinematic narrative (see 2.7.1). It should be noted that as art films, the narratives of the present study's selected films do not necessarily fill all the slots of Branigan's (ibid.) narrative schema. The present study's analysis of the film's narrative structure displays the viewers' plausible comprehension trajectory; in other words, it shows how viewers are likely to understand the narrative and fill in the slots of their narrative schema based on what they see on the screen. By analysing the narrative of the films considered by the present study at this stage, the researcher is able to address RQ 3 regarding how viewers understand film narrative as a context in which characters are created and developed.

Levels of SAs

As outlined in 3.5, the functions of SA in literary discourse – as well as film – are not only restricted to characters' verbal acts and other SAs are embedded at different levels of narrative communication. A comprehensive SA analysis of a narrative should be able to specify the functions of SAs at various levels of film discourse. This is mainly because the SAs which operate at different levels of film narrative can contribute to construct and create characters and/or reinforce or undermine their attributes. For instance, the homodiegetic narrator's (character-narrator's) general act of *telling/narrating*, which may include other SAs such as *identifying*, *describing*, *recounting*, *generalizing*, *characterizing* can give specific information about a character and hence, motivate viewers to construe them in a specific way. The current study has revised Bernaerts' (2010) model of SA levels in narrative (which is devised for narrative fiction) and modified it to suit film discourse. The reason for this, as outlined in 3.5, is that although Bernaerts' (ibid.) model can potentially be applied to narrative fiction, it is unable to account for all illocutionary acts operating on the different levels of film narrative, mainly because of the distinctive and medium-specific characteristics of film discourse which influence the specifications of SA operating on various levels of film discourse. Accordingly, although all the levels of SA operating in film narrative have been discussed in 3.5, three significant levels of SA which contribute to viewers' character impressions are examined and discussed in the analyses (5.4, 6.4 & 7.4). In addition, the analysis of SAs is informed by SAS and its specifications. In other words, the SA analysis is carried out with regard to how viewers plausibly uptake, understand and interpret SAs (performed by different multimodal devices) in terms of their SASs. By analyzing the different levels of SA performed in film narratives, we address RQs 4 and 4a, and 5, respectively, which concern the general function of SAs operating at different levels of film discourse (and character SAS in particular), their contribution to characterization, and the role of SASs in understanding different variations of SAs in film.

1. The filmmaker's act of *creating/inviting*: This level includes the filmmaker's implicit or explicit expression of 'let me tell you a story' as the opening frames appear on the screen. Such a tacit verbal or visual act draws viewers in and encourages them to indulge in the film's make-believe world. The filmmaker's act of *creating/inviting* provides viewers with their first impression of the film's atmosphere (as will be discussed in *Autumn Sonata*, 6.4.1), adds information about characters (as will be

explained in *The Piano Teacher*, 5.4.1) or negotiates the narrative structure and how the story is presented (as will be analyzed in *Ten* 7.4.1). The *schematic* view towards SA allows us to consider the different types of verbal or visual locutions of *invitation* in order to imagine the fictional world of the film being viewed.

2. The narrator's act of *narrating*: This level involves the film narrator's actions including voice-over/in-narrator (as in the case of *Autumn Sonata*) which gives an account of the characters and events, or the camera (as in the case of *The Piano Teacher* and *Ten*), as a narrating agent, which *demonstrates*, *shows* or *narrates* the events and/or *characterizes* and/or *identifies* characters.

3. The characters' SAs: This level includes the SAs which characters exchange and communicate in their interactions. According to the current projects' suggested model for SAS, SAs may be performed either verbally or non-verbally, by means of other modes such as auditory and visual channels (see 3.3.1 and 3.3.3). In this part, two excerpts are chosen from each film. The first is the opening sequence, and the second is a marked, informative sequence which involves a turning point in which information about the characters is revealed. The second sequence is chosen for its significant value in challenging, disrupting or changing viewers' earlier character schemas/impressions and steering them to revise or confirm their initial impressions.

Character impression formation

As the last step of the analysis, here the earlier discussions converge to present/display the characters and the cognitive processes in which viewers are plausibly engaged. At this stage, we discuss viewer's overall impression(s) based on the episodic and sporadic, verbal and non-verbal, multimodal information that they have obtained from the selected scenes (and also with some necessary references to other scenes). This section illustrates how viewers' impressions about characters are formed and fueled by their different types of schematic knowledge based on Fiske and Neuberg's (1991) continuum of impression formation discussed in 2.6.1. In particular, the stage addresses RQ 6 concerning the overall impression model viewers plausibly form about characters.


4.5 Analysis

To carry out the multimodal SA analysis, the dialogues are transcribed multimodally in separate tables and the related film grabs are attached in front of each line of dialogue. In this project, the characters' dialogue lines are referred to as *expressive sequences* (henceforth ES) (Bednarek, 2010:104), to highlight the interactive patterns of SAs between interlocutors that can be associated with expressive meanings (e.g. emotions, evaluations, ideologies).

In Table 4.1 below, the first column illustrates the number of ES (i.e. the characters' speech turns). For instance, ES 20 refers to Erika's 20th turn, while the second column displays the character's first initial. The third column provides an exact transcription of characters' expressive sequences, and the fourth lists the inferred SA of a particular ES which is labelled in terms of the SA entry and its specifications using Harnish and Bach's (1979) SA model (see 3.3.3 and also Appendix 7). For example, Table 4.1 illustrates the screen grab's visual properties (including the character's facial expression, tone of voice and intonation) the SA performed by the ES 'sorry mama' (*apologizing*) through which the Erika expresses her regret and apology for causing upset. According to Harnish and Bach's (1979) proposed schematic framework for *apology*, in uttering an *apology*, S (speaker) *apologizes* to H (hearer) for X if S expresses: (i) regret for having done A to H, and (ii) the intention that H believes that S regrets having done A to H. In this example, E expresses her regret for what she has done (e.g. attacking her mother). In the fifth column, the pertinent accompanying film grabs are presented. In fact, unlike the dominant trend of film- dialogue analysis in pragmatics and stylistics – in which the scene description and the characters' non-linguistic behaviour are only explained and transcribed (e.g. Short 2007) – the current project attaches the relevant film grabs in front of each expressive sequence in order to provide a clear presentation of the visual properties of each utterance. And, based on the screen grabs' verbal and visual properties, the possible illocutionary force(s) of the utterances can be *provisionally* inferred in terms of Harnish and Bach's (1979) taxonomy of communicative illocutionary force (see Appendix 7). As briefly discussed above, the characters' SAs and their possible illocutions are not only labelled, they are also described and analysed in terms of Harnish and Bach's (ibid.) schematic proposition of SA. In other words, the analysis discusses how viewers plausibly uptake/infer a given illocution from a given expressive sequence based on their SAS,

whose specifications are determined by Harnish and Bach's (ibid.) schematic model for SA.

Table 4-1. Characters' multimodal SA analysis

ES	Character's initial	Expressive sequence	SA	Visual/graph	Possible illocution
20	E	'Sorry mama'.	Apologizing		Apologize/acknowledgement (expressive)

Next, the illocutionary forces of characters' SAs which have been categorized based on Harnish and Bach's (ibid.) taxonomy of SAs' illocutionary forces displayed in Table 4.2 to show the number of illocutionary force instances attributed to each character, along with the frequency of each character's instances of character's SA's illocutionary force(s). Table 4.2 summarizes the type and number of character's illocutionary forces. The frequency of character's illocutionary force(s) can be attributed to specific characteristics and reveal their specific attributes. For instance, considering the context of interaction, the high number of SAs with *directive* illocutionary forces can be attributed to characters' dominance, authority or power. For instance, the following exemplary table illustrates that character 1 makes 6 instances of *directives*, whereas character 2 makes 12, which means that character 2 is likely to be the more dominant party in this interaction.

Table 4-2. Type and quantity of of characters' illocutionary force

Illocutionary force of SA	Character 1	Character 2
Directive	6	12

The various types of characters' dominant illocutionary forces are determined in the next Table 4.3. The rationale for defining the particular types is to specify the nuances of related or similar SAs. For instance, in a given duologue, characters may draw *on directives* as a general category of SA, however, such *directives* may involve different types of illocutionary force, ranging from *question* to *prohibition*, each of which can be attributed to specific characteristic and reveal different attributes. In the following

explanatory table, character 1 uses *directives* with more instances of *requestive* (e.g. asking, imploring, begging) illocutionary force. According to Harnish and Bach's (1979) schematic pattern of *requestives*, in uttering SAs with *requestive* illocutionary force, S requests H to do A if S expresses (i) the desire that H do A, and (ii) with regard to the context of the interaction and S and H's interpersonal relationship, the high number of *requestives* with such specifications can be attributed to their different attributes such as modesty or timidity or humility.

In contrast, character 2 shows more instances of *directive* SAs with the illocutionary force of *requirement* (e.g. *ordering*, *commanding* and *warning*). In terms of Harnish and Bach's (ibid.) schematic model, in uttering SAs with *requirement* as the illocutionary force, S requires H to do A if S expresses, (i) the belief that their utterance, in virtue of his authority over H, constitutes sufficient reason for H to do A, and (ii) the intention that H do A because of S's utterance. Considering the context of this interaction, the SAs with *requirement* illocutionary force can be attributed to the authority or power of the speaker over the hearer. Here, the pattern and type of illocutionary forces reveal a contrast between the characters in terms of the intentions they exhibit in their use of illocutionary force(s).

Table 4-3. Type of characters' illocutionary force

Types of directive IF	Character 1	Character 2
Requestive	4	1
Requirement	1	3

Table 4.3 along with the analysis of viewers' plausible process of uptaking SAs and their illocutionary forces based on their SAs, shows how similar SAs may communicate different illocutions which result in viewer's forming different character impressions. Based on the specific type of SA and its potential illocutionary force(s), the marked characteristics of characters can be inferred. The present research also elucidates how characters are strongly associated with the type of SAs and the illocutionary force(s) they draw on, and how such associations contribute to viewers' impression formation. Moreover, it provides a multimodal, SA analysis of the film excerpts which exhibit SA patterns through which the creation, formation and development of characters can be traced.

4.6 Summary

This chapter presented the present research's research methodology. It began by discussing two methodological concerns which usually govern cognitive studies, as well as studies on cognitive stylistics: The probabilistic nature of cognitive studies as they tend to hypothesize about a 'model' viewer and the indeterminacy of stimulus from which viewers possibly draw their inferences. In order to diminish abstraction and avoid the subjectivity inherent in a total reliance on an analyst's interpretation, different types of 'preferred reading' (Desilla, 2012), which refers to how film communicator(s), including filmmaker(s), film experts (including film critics) and academic analysts intend the viewers to understand a particular film. In this research, the preferred reading sources include cinephilic and academic accounts, reviews and interpretations, as well as director's DVD commentary. However, it should be noted that the preferred reading is considered as a secondary source of data, and the researcher's own reading and interpretation of the three films take precedence.

The dataset – *The Piano Teacher* (2001), *Autumn Sonata* (1978), and *Ten* (2001) – was introduced and the rationale for choosing each film was also discussed. In terms of the present study's design as an analytical, qualitative and interpretive piece of research, it employs multimodal analysis – specifically multimodal transcription – as the main analytical/interpretive tool which can efficiently capture the contribution of visual images, including the aspects of *mise-en-scène* and cinematography, as well as characters' paralinguistic behaviors, through which the contribution of each film's modalities to meaning-making can efficiently be laid out. The four steps for achieving this were discussed: 1. describing and analysing the multimodal aspects; 2. describing and analysing each film's narrative structure; 3. describing and analysing the levels of SAs, and 4. describing and analysing the cognitive processes of character impression formation based on discussions of the earlier three stages. Finally, a detailed account of how the analysis will be carried out was presented, including the explanatory tables which will be used for multimodal transcription of dialogues in the following chapter.

5. Analysis (1): *The Piano Teacher* (2001)

5.1 Introduction

As discussed in 2.1, viewers come to understand film characters through an interplay between their schematic knowledge and a given film's textual cues. Thus, on the basis of schema theory, a cognitive model to analyse film-character comprehension was proposed (2.1) which maintains that the cognitive process of cinematic character construal entails interactions between three planes of schematic knowledge: social knowledge (the knowledge of real-life people), narrative film knowledge (knowledge of narrative and stylistic systems) and linguistic knowledge (the knowledge of linguistic and pragmatic conventions) which are mentally stored in schematic form. In a similar vein, Section 2.5.3 also argued that although fictional characters are the product of filmmakers' imagination, there are also schematic associations between dramatic roles and categories of real-life people (i.e. social, personal and group membership). Accordingly, the proposed cognitive model presupposes that the ways in which individuals comprehend both actual people and fictional characters are to some extent similar and that both are achieved via the use of schemas. In other words, although textual characters are fictional and imaginative, they are perceived and comprehended using a parallel cognitive mechanism to that which is used to understand real people and this accounts for the necessity of employing social schemas in the cognitive process of film character construal. However, when considering the cognitive process by which film viewers come to understand fictional character, we must consider their awareness of film mechanisms.

Film offers a specific set of multimodalities which include audio-visual and verbal resources and communicates meaning through the interaction between these multiple modes (1.5.1). This means that film is subject to a specific structure of generic, narrative and stylistic constraints and conventions for meaning-making, which contribute decisively to how viewers cognitively comprehend character(s). This is because cinematic characters are shaped, constructed and developed by means of cinematic techniques and devices and understanding them requires (at least a basic) knowledge of film. Therefore, understanding characters in film is also contingent on having an understanding of film mechanisms and cinematic conventions.

Thus, the present study's suggested cognitive model for character impression formation asserts that in addition to social (people-based) and cinematic schemas, viewers also draw upon their linguistic and pragmalinguistic knowledge – character's language usage within a social context – to understand film text and its components. Among the pragmalinguistic theories, the focus of this project is on SAT because characters' ideas, intentions, as well as their interpersonal relations are expressed, implicitly and/or explicitly through the linguistic acts they perform (see 3.4). Having emphasized the schematic quality of SAs, this research adopts a schematic approach to SAT, in which SAs are conceptualized as cognitive schemas (3.3.3), whereupon the three planes of narrative, cinematic and pragmalinguistic schemas all contribute to how viewers' form character impressions.

In this chapter, the suggested cognitive model for character impression formation and the proposed toolkit for character creation (2.3.1) are applied to *The Piano Teacher* (2001), a French-Austrian art house film directed by Michael Haneke. The film establishes itself in the tradition of European art film as it detaches itself from the conventional norms of popular cinema in terms of narrative, characterization and genre (see 1.4 and Appendix 1 for further discussion on art film). The film's generic, stylistic and narrative deviation makes it challenging for viewers who are accustomed to the conventions of mainstream cinema. The following analysis is based on all three planes of the suggested model: film schema (the knowledge of narrative and multimodal aspects, specifically visual aspects such as *mise-en-scène*), pragmalinguistic schema (characters' pragmalinguistic acts realized in their SAs), and social schemas (the characters' knowledge of social and interpersonal relations). The elements of the suggested toolkit for cinematic character creation and development (2.3.1) are also employed to investigate how the characters are presented and developed in the selected sequences.

An introduction to Michael Haneke's cinema and his affiliation to European art cinema as well as the *auteur* film tradition is presented in Appendix 2 in which the thematic and stylistic aspects of the director's films and how they have disengaged from the conventional narrative and cinematic styles of mainstream/Hollywood cinema. A summary of the film's plot and a description of Erika, the protagonist, is also provided in Appendix 3 in which different aspects of her multifaceted character are described.

The Piano Teacher is the story of Erika, a troubled, repressed, middle-aged piano scholar who still lives at home with her mother. A mutual obsession develops

between her and Walter, a young pianist, but when Erika reveals her masochistic fantasies, they repulse him. The plot climaxes with her attack and rape by Walter in her apartment. The film's closing scene shows stab herself with a knife in the foyer of a concert hall where she is set to perform that evening. Erika's true characteristics are revealed through her interpersonal relationship with two characters: her domineering mother who constantly dominates her; and Walter, a young man who has fallen in love with her. Erika's dysfunctional relationships with these two people with whom she has the most interaction are highly revealing of her actual character in two particular sequences:

1. The opening sequence featuring Erika and her mother engaging in a physical altercation which lays bare Erika's painful interpersonal relationship with her parent.
2. Erika and Walter's first intimate meeting in the conservatory toilets, which reveals a much-unexpected side to Erika's personality compared to viewer's first impressions of her as a downtrodden daughter. In both sequences, the characters' (especially Erika's) SAs create a specific illocutionary force(s) which, in conjunction with visual aspects, give rise to viewers' impression about them.

While the focus of this present analysis is on Erika's character, it is impossible to consider and analyse the processes by which viewers form impressions of her in isolation to the other two characters who interact with her: her mother and Walter. As discussed in the proposed toolkit for character creation (2.3.1), characters are created and developed with reference to their interactions with other characters. In other words, different aspects of characters' nature(s) are disclosed through their interpersonal relations with others as well as their linguistic (verbal/non-verbal) interactions/exchanges. For this reason, in addition to Erika as the protagonist, we must also consider and describe her mother and Walter as the other perfunctory characters with whom she has the most interaction.

The discussion of *The Piano Teacher* begins with Section 5.2 which provides an overall assessment of the stylistic and cinematic choices such as *mise-en-scène* and camera effects, based on the suggested multimodal toolkit for characterization which includes verbal and visual aspects that implicitly present characters and cue the viewers' general impression formation. Section 5.3 analyzes the film narrative based on Branigan's canonical narrative schema discussed in 2.7.1. The narrative analysis examines how *The Piano Teacher* constitutes a typical narrative and how viewers plausibly understand the story of the film, in spite of some causal gaps, by drawing on

their narrative and procedural schema. Having discussed the film's narrative and viewers' possible comprehension, Section 5.4 deals with the film's linguistic plane and investigates three levels of SA and the intentional force that each level communicates using a schematic approach which allows us to consider different forms of SA expression at different levels of the narrative. In order to achieve this, Section 5.4.1 deals with the filmmaker's SA of *invitation*, through which he summons viewers to imagine the film's fictional world. Next, Section 5.4.2 describes the *narrating* act of the camera, in which other local SAs such as *characterizing* and *identifying* are embedded. Then, Section 5.4.3 analyzes the characters' SAs multimodally and with reference to the accompanying screen grabs in the two key sequences mentioned above; the first excerpt includes the opening sequence, which shows the mother and daughter's verbal and physical struggle (5.5) and the second presents Erika and her lover's first intimate meeting (5.6). The SA analysis attempts to examine how characters' SAs and their illocutionary forces in conjunction with the films' visual properties create a SA pattern through which the marked characteristics of the characters, particularly Erika, are divulged. Section 5.7 deals with the overall impression viewers plausibly form of Erika based on the episodic and sporadic, linguistic/non-linguistic information they are provided with from the two scenes analyzed in 5.5 and 5.6. Related to the analysis, Section 5.6.1 discusses how certain characters' acts are carried out non-verbally and by means of multimodal devices, specifically film style and techniques. It discusses how the revelation of highly paradoxical and unusual aspects to Erika's character produces a schematic clash in viewers as they attempt to understand Erika through 'piecemeal integration' (Fiske and Neuberg, 1990) or bottom-up processing in which the character impression process is informed by viewers building up an impression of her based on these individual character attributes, rather than a top-down process of schema application of Erika as a typical, run-of-the-mill piano teacher. Finally, the main points discussed in this chapter are outlined and revisited in 5.8.

5.2 Assessing the cinematic/visual aspects

This section addresses the current study's second aim concerning film's contribution of multimodal elements to character comprehension. It discusses how the film's audiovisual aspects contribute to the creation and development of Erika's

character in viewer's minds. However, as the analytical method involves a multimodal transcription (particularly in 5.5 and 5.6) these multimodal aspects will also be referred to in the course of the analysis. As discussed in the checklist for cinematic characterization (2.3.1), film uses particular implicit and explicit, linguistic and non-linguistic multimodal signifiers (e.g. *mise-en-scène*, cinematography, characters' body language, costume and make-up) to create characters and to highlight certain aspects of them. In *The Piano Teacher*, Erika is presented and characterized *implicitly* by specific multimodal cinematic choices which are representative of her mental world and emotions.

In terms of costume and make-up, throughout the film, Erika dresses conservatively in shapeless black, white, taupe and brown shirts composed of straight lines in similar shades, buttoned all the way up to her chin and over her wrists, coupled with long skirts that obscure her legs and feet, wearing no make-up and twisting her hair into a tight bun. As discussed in the suggested toolkit, viewers associate certain contextual choices with certain types of characters and generate schematic expectations about them in specific situations. The settings and contexts in which she most frequently appears lack vivid colours and stark lighting is used to furnish her with a cold air which portrays Erika as emotionally frigid and alienated. Concerning the overall atmosphere of the film, Wrye (2005:1206) points out that such dreary and lifeless ambience may point towards the 'disaffection which characterizes modern bourgeois society and to portray the dynamics of modern alienation' of which Erika's life is not an exception (in Wheatley, 2009:131). In the majority of scenes, Erika is seen in indoor spaces: the flat she shares with her mother, the conservatory, and the house of a fellow musician. Even when she is outside of these places, she is still in enclosed spaces (e.g. a shopping centre, a cinema and a restaurant). This focus on interiors indicates the walls she has built up around herself and intensifies a sense of imprisonment. In terms of the cinematographic aspects, the camera movements are restricted in most of the scenes and shots are filmed from a fixed point of view which suggests a frozen, lacklustre, inactive and still-life quality

Having discussed the general aspects of the film's stylistic choices which implicitly present Erika and cue the viewers' impression(s) of her character, the next section deals with the film's narrative, in which Erika's character is introduced and developed, and how viewers plausibly engage in comprehending this narrative by means of their own narrative schema.

5.3 Film narrative

Concerning the current project's first aim, the role of viewers' schema in their comprehension of film and particularly with how they form impressions of characters, this section deals with the function of narrative schema and its components, and how viewers plausibly understand the narrative of the film. *The Piano Teacher* tells a straightforward story of an emotionally repressed middle-aged woman who meets a handsome young man and embarks on an affair which ultimately changes her life and leads her to self-destruction (see Appendix 3). This analysis of the film's narrative structure uses Branigan's (1992) expanded narrative model – derived from Labov and Waletzky (1967) – with eight recursive components which constitute the narrative schema (see 2.7.1 and 4.4). Thus, the narrative components of the schematic canonical narrative can be realized in *The Piano Teacher* which outline the plausible trajectory of viewer's narrative comprehension.

Abstract: The abstract appears after the first sequence of the film. Following the unusual opening credit, in which the director's and actors' name appear, the first sequence begins, and after eight minutes, the credit continues with a medium shot of a different piano students' hands striking the keys while an off-screen voice comments on their performance in a commanding tone. In an alternative fashion, the scenes are cut to credit shots in which the name of the writer, screenwriter appear. Then, a long shot of Erika follows as she is standing at a window. The shots of hands playing the piano and the immediate cut to Erika in long shot function as the abstract of the narrative as they briefly contextualise the film by showing what and who the story is about.

Orientation: As the description of the present state of affairs (place, time, character) (Branigan, 1992:18) the first, second and third sequences introduce the characters, not only the main character but also Erika's mother and Walter, as the secondary or supportive characters, whose presence influences Erika considerably in terms of characterization. In the first sequence, Erika and her mother are presented and the dysfunctional nature of their relationship is outlined by their harsh words and physical confrontation. The second sequence, a descriptive long shot of Erika standing alone at her office with a piano behind her, informs viewers about her profession – in line with the title of the film. The third sequence (a recital in Walter's aunt's house), the

young man (Walter) is seen for the first time as he appears when Erika and her mother are getting into the elevator. Based on the characters' costume and the physical aspects of these three different locations, viewers are led to understand that the story is set sometime in the 1990s. In these three scenes, the characters are introduced, presented and described for the first time.

Initiating events: According to Branigan's definition of an initiating event: 'an initiating event alerts the present state of affairs' (1992, p.18), and, in *The Piano Teacher*, two initiating events can be identified.

1. First, the opening sequence (the mother and daughter's skirmish) can be taken both as plot orientation and initiating event. In other words, there is an overlap between these two components as the opening sequence describes both the current state of affairs, introduces Erika and her mother, delineates the period in which the film is set and its general atmosphere, and also alerts/notifies viewers about the maladjusted nature of the characters' relationship.
2. The second initiating event is presented in the third sequence (the piano recital) which, as described earlier, functions both orientation and initiating event. It is in this sequence that Walter is introduced for the first time and that the first signs of his love towards Erika are revealed.

Goal: In terms of Branigan's (ibid.) goal which is described as the emotional response of the main character(s) (p. 18), Erika's goals can be realized in two sequences: the first and primary one is the toilet scene where she is caught by Walter. Here, Erika behaves most abnormally by promising him that he will receive her sexual orders by letter. Erika's second emotional response is when she hands Walter a letter detailing her masochistic fantasies. These two sequences represent how she reacts emotionally to Walter's love interest.

Complicating action: *The Piano Teacher* involves a complicating action as an essential component of narrative which qualifies it as such (see 2.7.1). The beat-and-rape sequence, almost in the middle of the film, has the most transformative value. Walter increasingly insists on his desire to start a sexual relationship with Erika, but she is only willing if he satisfies her masochistic fantasies which absolutely repulse him. The film climaxes when Walter attacks her in her apartment at night in the fashion she lets him know she desired. He beats and then rapes her outside her mother's bedroom door.

Resolution: The film's plot comes to an end in the concert hall in which Erika is due to perform. She is late for the stage because she is desperate to see Walter, but he enters laughing with his family. Moments before the concert is due to start, Erika stabs herself in the shoulder and exits the hall into the street. Although this sequence signals an end to the film, it does not determine what will happen to Erika and, as a typical art-film narrative, it refrains from giving the audience straightforward answers concerning its ending.

The Piano Teacher's narrative lacks an 'epilogue' (the last component of Branigan's (ibid.) prototypical schematic narrative structure) as the moral lesson implicit in the story of the events which may include explicit character reaction to the resolution. Having stabbed herself, Erika leaves the concert hall without any discernable verbal or visual (facial) expression. However, the film's lack of epilogue does not disqualify *The Piano Teacher* from being narrative as it involves a complicating action. While the plot constitutes a narrative, it lacks causality and definiteness, and, as pointed out earlier, has an open-ended approach to narrative resolution and displays a great tolerance for narrative gaps in many scenes (see Chapter 1). An example is the public rehearsal sequence, in which Anna, one of Erika's students who is going to perform a piano piece, seems too nervous and anxious to play. While Walter tries to make her laugh to reduce her anxiety, Erika is watching them. Erika goes straight to the changing room and puts shards of glass in Anna's jacket pocket which results in severe cuts to her dominant playing hand. In fact, as the story goes on, some complex motivations can possibly be assumed as to why Erika puts shards of glass in her students' pocket (for instance it can be assumed that Erika feels jealous as the girl draws Walter's attention away from her), however, the story lacks any obvious cue to justify this act and so we cannot be sure of this. To make sense of what happens in this sequence, viewers may presumably draw on their procedural schema, as the operational protocol on which they rely to comprehend film when the narrative, stylistic and genre schemas are inadequate for meaning-making (see 2.7.4). Through procedural schema, viewers may motivate the event either *realistically*, as Erika putting shards of broken glass in her student's pocket can be interpreted as an envious assault on this young rival pianist (in an earlier sequence, Erika tells her mother that Anna has a talent in Schubert); or *compositionally*, as the attack might stem from her jealousy of the attention Walter pays the young student. This scene can also be motivated *artistically*, as one of the paramount themes of Haneke's films is violence and masochism (see Appendix 2). Thus, viewers who are

familiar with the film writer's work may motivate such act as a recurrent theme which his films are commonly known for. This event can also be motivated *generically*, in a sense that, as an art film, *The Piano Teacher* lacks the cause and effect motivations in a classical sense; as Cook asserts '[in art film] questions remain unanswered, ends are left loose and situations unresolved' (1999:107). Furthermore, *The Piano Teacher* lacks a classic resolution. The climax of the narrative uncertainty is the ending scene in which Erika stabs herself in her shoulder. Thus, although the canonical narrative schema can be pursued to follow the plot, some events cannot be motivated in terms of simple cause and effect. And so, in order to understand the events with low cause and effect connection, viewers resort to their procedural schemas to fill these narrative gaps.

5.4 Levels of SA in *The Piano Teacher's* narrative

Having discussed *The Piano Teacher's* narrative and how viewers may plausibly perceive it via their narrative and procedural schema, the next section investigates the different levels of SA and the intentions that each level (attempts to) convey. In terms of the scope and levels of SA analysis in film's narrative (Chapter 2), the following SA levels can be realized in the discourse of *The Piano Teacher* via the actions' of the filmmaker, the camera (as the narrator), and the characters.

5.4.1 The filmmakers' *inviting* act

The narrative of *The Piano Teacher* is assumed to be understood as the author's/filmmaker's act of *creation* and *invitation* (to imagine the film's fictional world), however, the film exercises this in an unusual fashion. The first credit shot with the name of the producers appears on the screen which can be considered as a collective invitation from the producers. The film then cuts to a number of different shots: three different hands playing the piano as if they are three different Erika's piano students, and a medium shot of Erika – the piano teacher herself. Then, the opening sequence of the film – which lasts almost nine minutes – begins. The credits resume after the opening sequence, and at this point, the filmmaker's direct SA of *invitation* hits the screen 'A Film by Michael Haneke'. In fact, the filmmaker's act of *invitation* is carried out both verbally (through the words written on the screen) and visually (through the

shots of the hands playing the piano on which the piano teacher's commanding voice is heard which is followed by a long shot of herself) accompanied by general *requestive* illocution. Furthermore, the SA of *assertion* can also be realized as we are informed through the locutions of (*A Film by Michael Haneke*) that this is a Haneke film which itself establishes a body of expectations associated with the *auteur's* work (see Appendix 1). Such *assertion* is further reinforced audio-visually through the opening sequence (the mother and daughter's clash), in which violence as one of the important *auteurial* cues in Haneke's films can be seen (see Appendix 2). The collocation of verbal as well as audio-visual signifiers in the opening shots of the film cues viewers to construct the general theme of the plot. The cold and lifeless colours of the settings and the crescendo tonality of the soundtrack in the opening credits create a distant and bitter atmosphere associated with Haneke's style and prepare viewers to construct a story world associated with the themes of violence and bitterness. In fact, the schematic approach to SA through which SAs can be conceptualized as schematic constructs allows us to think of different forms of SA expression, as, the filmmakers' act of *creating/inviting* in the opening credits of the film is carried out through different visual and verbal channels.

5.4.2 The camera's *narrating* act

Based on the discussion of the narrator's act of telling in Chapter 2, the film uses different narrating agents among which the verbal narrator (voice in/over) and camera (as the visual narrator) are believed to be the concrete manifestations of the narrating act. *The Piano Teacher* is Erika's story (for discussion on filtration see 3.5.4.2). The camera seems indifferent to other characters; they are *presented* and *described* in relation to Erika. This consequently turns the camera's role into an external focalizer (see 3.5.4.2), which constantly tries to follow Erika in order to bring her into its focus. In *The Piano Teacher*, the camera acts can be categorised as follows: the camera *narrates* the story events visually with different illocutionary forces in respect to the narrated event(s). In the film, the camera *narrates* using the SA illocution of *showing* in most of the scenes. For instance, in the concert hall sequence, it *shows* Erika's putting shards in her student's pocket. The camera also *shows* Walter trying to cheer up the girl with almost an objective view (the camera does not get close to them and *shows/depicts* the events in long-shots). In other scenes, the camera has an *emphasizing* function and

exercises such an illocutionary force through different (cinematic) devices. For instance, in the opening scene, the over-shoulder moving camera *shows* the character's physical struggle via a following shot to *emphasize* and *intensify* the tension of their confrontation.

In addition to its *narrating* act, the camera *identifies* characters, especially Erika, in order to characterize them. The long shot of Erika as she stands in front of the window in her office is an instance of camera's *identifying* act, which sketches Erika (as the piano teacher), her physical appearance and her office (as the setting where she spends most of her time). In fact, this shot is the viewers' first encounter with her in which the camera's *identifying* act takes the illocutionary force of *characterizing*. Another example is when the camera follows her in the sex shop. As Erika walks into the shop, the camera shoots her gloved hand in a close-up as she touches her shoulder as if to clean it after she is jostled by a man. Here the camera's *identifying* act has a *characterizing/describing* illocutionary force, as by *showing* such a personal act, it *characterizes/describes* her as physically distant. In addition, as pointed out in 2.3.1, the fixed, steady camera *suggests/expresses* a sense of coldness and stillness by restricting its movements, especially in closed spaces. An example is in the scenes shot in Erika's office, in which the camera's minimal movements mostly capture the characters and the events from a fixed point of view.

5.4.3 The characters' SAs

As discussed in the introduction, Erika's marked characteristics are revealed through her interpersonal relationship with two other characters: her domineering mother and Walter – who is in love with her. The opening sequence of the film in which Erika and her mother become embroiled in physical and verbal altercation also establishes the film's orientation as well as the initiating event of the film's narrative (see 5.3) through which the characters are introduced and Erika's tormented relationship with her mother is revealed. The sequence of Erika and Walter's first intimate meeting in the conservatory toilet, as a turning point in the narrative, sets up Erika's goal via her emotional response to Walter's expression of love. In both sequences, the characters' (especially Erika's) SAs with various illocutionary forces in conjunction with visual aspects contribute significantly to viewers' impression formation about them. In the following section, the characters' dialogues in both sequences are transcribed in

Tables 5.1 and 5.4 and the SAs of their turns are analysed in terms of the potential types of illocutionary force(s). Based on the type of SAs and the illocutionary forces they draw upon, an impression of Erika's and her mother characters can be inferred (in the first analysis) and Erika's and Walter's (in the second analysis). In addition, the SA analysis of both sequences demonstrates a SA pattern through which the development of Erika, as the main character, can be traced.

5.5 Excerpt 1: the opening sequence

The opening scene of the film, in which viewers' primary impressions of Erika (as well as her mother) are formed, begins with a medium shot of a closed door from the inside of a dark apartment. Erika, shown in a medium shot, opens the door and enters the on-screen space. Heading through the hall to her room, she is caught by her mother's reproachful voice which stops her suddenly by *greeting* her from the off-screen space. Erika responds in a tired voice. The kinship relationship between Erika and her mother is constructed linguistically through characters' use of vocatives 'child' and 'mom' (ES 1, 2), which function as an 'internal conceptual header' (Schank and Abelson, 1977), i.e. the cue that refers to actions and roles, and activates viewers' mother-and-daughter schema. Erika's voice and her body language suggest that she has already predicted her mother's intention of *interrogation*. In fact, the interrogative illocutionary force of mother's SA (ES 3, 5, 7, 9) is disclosed in a chain of SAs ranging from *disputing* and *rebuking*, *ridiculing* ('home already, I'm so happy'), *forbidding* ('not so fast'), *affirming* ('I can quite believe it') and *commanding* ('no, no you don't! not until you tell me!') through which she tries to question Erika on why she is late home. Erika tries to evade and ignore her by just saying ('oh, no') and dashing to her room. The mother tries to stop her, and this time, she starts her interrogation by *affirming* that she knows Erika is tired, but cannot understand why she is late. She uses linguistic hedges such as *might I know*, to rephrase her question, but it reinforces the *directive* force of her *interrogation*. She insists on her words and pays no attention to Erika's *imploring* to leave her alone and physically prevents her from entering her room by *commanding* her (no you don't!). In ES 9, the mother's SAs of *commanding* and *dictating* bear the illocutionary force of *requirement* which is stronger than *request*.




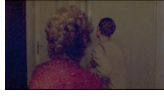






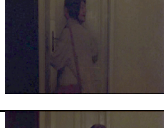
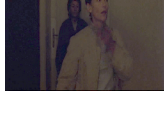
According to Harnish and Bach's (1979) schematic model for SA, in *requesting*, the speaker (S) expresses his/her intention that the hearer (H) takes his (speaker's) expressed desire as a reason to act; as through *begging* (*please leave me be!*) and *imploring* (*please!*) Erika wills that her mother takes her wish as a reason for leaving her (p. 47). But in *requirements* S's expressed intention is that H takes S's utterance as a sufficient reason to act. In fact, *requirements* do not necessarily involve the speaker's expressing any desire at all that H act in a certain way and it might be quite clear that S could not care less. Instead, what S expresses is their belief that their utterance constitutes sufficient reason for H to perform the action (p. 47). The mother believes that because of her influence and authority in relation to her daughter, her *commanding* and *dictating* words provide enough reason for Erika and oblige her to tell her where she has been (without considering whether she wishes to do so or not). She jostles to prevent Erika from entering her room (Grabs 7, 8, 9) and this physical prevention enhances the illocutionary force of her *requirements*.












Erika *informs* the mother that she went for a walk. However, the mother does not believe that her walk has lasted three hours. She grabs Erika's bag by force and discovers a new dress in it (Grab 13). Having discovered the dress, she *ridicules* her by expressing that she already knows that Erika has lied. As she realized that she has spent a lot on buying the dress, she starts *insulting* her. Erika *orders* her to give it back, but the mother refrains and her refrain results in a physical struggle. The dress gets ripped, and, in an outburst of anger, Erika gets into a harsh physical clash and jumps to pull out the mother's hair (Grab 15). By using the most direct form of *insult* (*Bitch!*) Erika, along with the physical attack exhibits characteristics such as nervousness, restlessness and agitation. She seems more reserved than the mother up to this point: while the mother uses *requirement/directive* forms of *commanding* and *dictating* (ES 9), she tries to evade argument through using *requestives/directives* of *imploring* and *begging* (ES 6, 8). This physical struggle is highly revealing, as, in addition to their verbal arguments, it unveils their tormented relationship even more. The mobile and over-the-shoulder camera with its sudden movements follows Erika and enhances the intensity of the scene. Then, the scene cuts to a medium shot which shows the mother sitting on a sofa and watching television, while Erika is hovering around in anger and distress. The mother tries to provoke Erika again by expressing words of *curse* and *rebukes* (ES 15). Erika tries to stop the mother by *ordering* her to finish the argument (ES 17). The illocutionary force of her *order* is also reinforced by the insult: *cow*. In reaction, the


mother interrupts Erika's utterance and *prohibits* her from saying this (ES 17). Uttering such *prohibitive* expression puts her in an authoritative position. According to Harnish and Bach (1979) in uttering expressions with *prohibitive* illocutionary force, 'S prohibits H from A-ing [acting] if S expresses: (i) the belief that their utterance, in virtue of his authority over H, constitutes sufficient reason for H not to A, and (ii) the intention that because of S's utterance H not do A (p. 47). Here, the mother *forbids* Erika from saying what she wishes (i.e. cursing) as considering her authority, she might believe that her *prohibitive* utterance (ES 17) provide enough reason for Erika to stop. Moreover, the mother believes that due to the power of her *prohibitive* utterance, Erika does inevitably stop. The mother also *warns* Erika about her own poor physical condition to arouse Erika's pity and compassion. The effect of the mother's *prohibiting* and *warning* illocutionary force is evident in Erika's utterance as in the next turns, she begins *apologizing* (ES 20, 22). Erika is crying and embracing her mother as she *apologizes* her for what has happened which visually reinforces her *expressive* illocutionary force of her SA. According to Harnish and Bach's (1979) schematic proposition for *apology*, in uttering an expression of *apology*, 'S apologizes to H if S expresses: i. regret for having done D [what S has already done for which s/he apologize], and ii. the intention that H believes that S regrets having done D to H' (p. 51). Erika utters the words of *apology* and expresses her true regret in two subsequent turns (ES 20, 22) with the modifier *truly* which linguistically shows her sincere intention. The mother also believes Erika's regret and *accepts* her *apology*. According to Harnish and Bach (1979), 'in uttering E [the expression of accept] S accepts H's acknowledgement [*expressive*] if S expresses: i. appreciation for H's acknowledgement, and ii. the intention that H believes that S appreciates H's acknowledgement' (p. 53). The mother *accepts* her *apology* by saying ('*never mind!*') and *offering* her a coffee. The mother's act of *offering* a coffee functions as an assurance for Erika that her mother has forgiven her.


The patterns of the mother's and daughter's illocutionary forces show that the mother tends to exercise her power over Erika, while Erika behaves much more submissively and yieldingly with the mother.

Table 5-1. Initial exchanges

ES	Ch	Sequence	SA	Visual/Grab	Possible illocution
1	M	Good evening, child	Greeting		Greet/acknowledgment (expressive)
2	E	Good evening mom.	Greeting		Greet/acknowledgment (expressive)
3	M	Home already, I'm so happy.	Disputing/ rebuking reidiculing		Disputative/constative
4	E	Oh, no.	Demuring		Disputative/constative
5	M	Not so fast.	Forbiding		Prohibitive/directive
6	E	Please. Leave me be. I'm tired.	Begging		Requestive/directive
7	M	I can quite believe it. Your last pupil left 3 hours ago. Might I know where you've been all this time?	Affirming Affirming Interrogating		Assertive/constative Assertive/constative Requirement/directive
8	E	Please.	Imploring		Requestive/directive
9	M	No, you don't! Not until you tell me! No! (she grabs her from behind)	Commanding Dictating Commanding	 	Requirements/directive
10	E	I went for a walk. Do you mind? I spend 8 hours in my cage. I was tired and needed some air.	Informing	 	Informative/constative

11	M	For 3 hours?!	Interrogating		Requirment/directive
12	E	Absolutely!	Asserting		Assertive/constative
13	M	Magnificent! Just as I thought! Where is the bankbook? 10.000 Schillings! Tell me, have you lost your mind?	rebuking/ ridiculing Interrogating? Insulting	  	Disputative/constative Question/directive Acknowledgment (expressive)
14	E	Give me back. No... no... Bitch!	Ordering Insulting	   	Requirement/directive Acknowledgment (expressive)
15	M	Could cut your fingers off. Beating your own mother! That frock is so gaudy anyway. At your age you should know what suits you.	Cursing Rebuking Warning Warning	 	Bid/Acknowledgement (expressive) Advisoriy/directive Advisoriy/directive Advisoriy/directive

16	E	Can't you stop you cow?	Ordering		Requirment/directive
17	M	What? You daren't say it. Don't bother. I know what you wish. I could have had a heart attack from the agitation.	Prohibiting Warning Warning	 	Prohibitive/directive Advisory/directive Advisory/directive
18	E	Stop it, mama. You don't know what you're saying	Begging		Requestive/directive
19	M	There's a real hole here. Here, too.	Informing		Assertives/constative
20	E	Sorry mama. But why do you do these things?	Apologizing Asking	 	Aplologize/acknowledge ment (expressive) Question/directive
21	M	Why do you do these things?	Retorting		Responsive/constative
22	E	I'm sorry. Truly sorry. Let me look	Aplogizing	   	Appologize /acknowledgement (expressive)
23	M	Never mind! That's how it is. We are a hot-blooded	Forgiving Confessing		Accept/acknowledgment Concessive/constative

		family. Come on, stop crying. I'll make some coffee. We will have a cup together. Okay?	Imploring Offering		Requestive/ directive Offer/Commissive
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In Table 5.2, the mother's and daughter's SAs are categorised into four groups based on Hanrish and Bach's taxonomy of SAs' illocutionary forces (see Appendix 7). As Table 5.2 shows, the mother has more instances of directives than Erika (13 vs. 6).

Table 5-2. Mother's and daughter's illocutionary force of SAs

Illocutionary force of SA	Erika	Mother
Constative	3	7
Directive	6	12
Commissive	0	1
Acknowledgment (Expressive)	4	4
Total	13	24

Table 5-3. Types of characters' directive illocutionary force

Types of directive IF	Erika	Mother
Question	1	2
Advisory	0	5
Requestive	4	1
Requirement	1	3
Prohibitive	0	2
Total	6	13

The marked feature of the characters' SAs, as Table 5.2 demonstrates, is the high instances of *directives*. In fact, using *directive* SAs does not help to make a distinction between characters as they encompass an extensive range of SA from *begging* to *prohibiting*. For this reason, the types of *directive* SA on which each character draw are classified based on the visual properties such as characters' facial expressions, voice quality and paralinguistic aspects. As Table 5.3 shows, the characters' *directive* SAs range from *question*, as the most basic type of *directives* which create illocutionary forces such as *asking* and *inquiring*, to *prohibitives* which

can include *forbidding* and *prohibiting*. In terms of *advisory* SA, the mother uses the SAs of *rebuking* and *warning* (ES 15), which can involve a characterizing function. Based on Harnish and Bach's (1979) schematic specifications of *advisories*, in uttering an *advisory* SAs (such as a *warning*), S *advises/warns* H to do a specific (S' desired) act as s/he expresses: i. the belief that there is (sufficient) reasons for H to do/do not the S' desired act, and ii. the intention that H take S's belief as (sufficient) reason for him/her to do that act. By saying '*the frock is so gaudy*' and '*at your age you should know what suits you*', the mother believes that she provides sufficient reason for Erika not to wear it. The mother's forceful tone of voice also enhances the illocutionary force of *warning* in her *directive*.

In addition, the mother employs more examples of *requirements* such as *commanding* and *dictating* (ES 9), in contrast to Erika who uses just one instance of *ordering* with the illocutionary force of *requirement*, which in comparison to her mothers' *dictating* and *commanding* places her in a much weaker and less authoritative position.

In the selected sequences, *requestives* are the only *directives* in which Erika shows more instances than her mother. She draws on *begging* and *imploring* (ES 7, 8) as the weakest type of *requestives* which in contrast with *directives* such as *requirement*, *prohibitives* and *advisory* (here *warning*) paints her as a submissive character, which, in spite of her instances of *insulting* (ES 14, 17), puts her in a much weaker position. Her submissiveness towards her mother is further evidenced by her SAs of *acknowledgment* (expressive) of *apologizing* (ES 22, 20) through which she expresses her regret and apology for something in which the mother's share of guilt is not less than hers'. According to Harnish and Bach's (1979) proposed schematic framework for *apology*, in uttering *apology*, S *apologizes* to H for D if S expresses: i. regret for having done A to H, and ii. the intention that H believes that S regrets having done A to H. Erika expresses her regret for what she has done (attacking her mother) twice (ES 21, 23). The mother believes and acknowledges Erika's regret by uttering words of forgiveness (ES 24).


In summary, the analysis of the mother's and daughter's SAs above shows how the characters are strongly associated with particular types of SA and the illocutionary forces they draw upon. With the high instances of *directives*, specifically *requirements* (*commanding*, *dictating*, *prohibitives*) and *advisories* (*warning*), the mother is constructed as an overbearing, domineering, authoritative and arrogant character who does not observe any appropriate boundaries with her middle-aged daughter. Erika, on




the other hand, frequently uses SAs of *requestives* (*imploring*) and *acknowledgment* (*apologizing*) which portray her as a weak character who is both adored and feared by her mother. Although Erika tries to confront her mother's authority and control, which is evident in her rare use of *requirements* (*order*), she remains construed as a submissive and yielding daughter in relation to her mother.







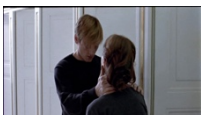

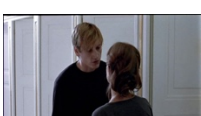



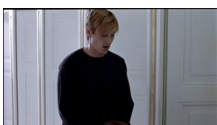
5.6 Excerpt 2: A turning point











As discussed in 4.2.1, Erika and Walter's first intimate encounter, as another essential turning point in Erika's characterization, occurs in the women's toilet of the conservatory. In the first sequence, Erika is perceived as a brow-beaten daughter controlled and commanded by her domineering and intruding mother as disclosed in her frequent instances of *requestive* illocutionary forces of her SAs. In contrast, in the toilet scene Erika exhibits a totally different pattern of SAs. She consistently tries to exercise her authoritative power over Walter through her overuse of *directive* SAs, such as *commanding* and *ordering* with the illocutionary force of *requirement*, as the strong form of *directives*, in a situation in which her lover *expresses* his romantic feelings for her. In contrast to Erika's tendency to use *requirements* (*commanding*), Walter predominantly draws on *requestives* (*begging*, *imploring*). Such sharp contrast between the patterns of SAs employed by these two characters' serves to underline the huge contrasts between the characters' personalities. As discussed in the analysis, the illocutionary forces of characters' SAs are heavily dependent on the co-operation between visual elements including their paralinguistic expressions (facial expressions and body movements). In addition, there are moments in this sequence where visual aspects, including camera work and characters' gaze give rise to meaning-making in the absence of dialogue (for example ESs 21, 22).



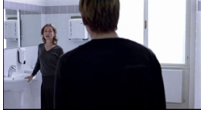
Table 5-4. The turning point











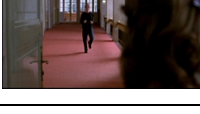
ES	Ch	Sequence	SA	Visual/Grab	Possible illocution
1	W	Erika?	Questioning		Question/directive

				 	
2	E	Wait!	Ordering	 	Requirement/directive
3	W	Why?	Questioning		Question/directive
4	E	Stop!	Commanding	  	Requirement/directive
5	W	Erika, please.	Insisting	 	Requestive/directive
6	E	If You don't stop immediately, I'll leave.	Commanding	  	Requirement/directive

7	W	Why are...	Questioning		Questioning/directive
8	E	Be quiet. Don't move or I'll leave.	Commanding Commanding		Requirement/directive Requirement/directive
9	W	No... Erika, I love you. No one has. Ugh.	Begging Asserting Asserting	       	Requestive/directive Assertive/constative
10	E	If you don't be quiet, you'll end up all alone here.	Commanding		Requirement/directive
11	W	Why do you hurt me?	Objecting	 	Requirement/directive

		I can't hold back.	Objecting	  	Requirement/directive
12	E	I said silent!	Commanding		Requirement/directive
13	W	Keep on, come on here.	Insisting		Requestive/directive
		That's it...ugh. Keep going, don't stop!	Thanking Begging Ordering		Thank/acknowledgment (expressive) Requestive/directive Requirement/directive
14	E	I'll write down what you can do to me. All my desires on the paper for you to pursue at will.	Informing Informing		Assertive/constative Assertive/constative
		You don't like that?	Questioning		Question/directive
15	W	You cannot leave me like this	Begging		Requestive/directive
		Come on.	Insisting		Requestive/directive
16	E	No, I have no desire to touch that now.	Refusing		Reject/acknowledgment

17	W	Keep going, please.	Begging		Requestive/directive
18	E	No Hands off! Or we never see each other again.	Commanding Commanding Warning	 	Requirement/directive Requirement/directive Advisory/directing
19	W	It's totally sick what you're doing here and it hurts.	Rebuking		Advisory/directive
20	E	I sympathize! Stop it! Don't be stupid or you'll spoil it. I won't touch you again! I want you to stay like that that's all! Facing me! Don't put it away.	Acknowledging Commanding Warning Promising Ordering Commanding Commanding	     	Acknowledgment (expressive) Requirement/directive Advisory/directive Promise/commissive Requirement/directive Requirement/directive Requirement/directive
21	W	It's not me who is stupid, it's you. You should know what you can and can't do to a man. You bitch!	Rebuking Ordering/directing		Advisory/directive Requirement/directive

22	E	Stop it!	Commanding		Requirement/directive
23	W	The playing field has to be levelled. If you think... Wait, wait Erika I won't move I promise!	Objecting Begging Begging	   	Disputative/directive Requestive/directive Requestive/directive
24	E	You'll receive all my instructions, by letter or face to face. Now you can put it away.	Promising Ordering	     	Promise/Commissive Requirement/directive

Similarly to the analysis of the first excerpt (above), the characters' SAs and their possible illocutionary forces are set out in Table 5.5. The possible illocutionary forces are determined in terms of the context of the interaction as well as the visual properties of the two characters, such as their facial expressions and body language.

Table 5-5. Type and number of characters' illocutionary force

Illocutionary force of SA	Erika	Walter
Constative	2	1

Directive	19	19
Commissive	2	0
Acknowledgment (Expressive)	2	1
Total	25	21

As Table 5.5 shows, Erika and Walter are given an almost equal number of turns (25 vs. 21). The number of SAs, especially in terms of *directives* are also similar (19 vs. 19). In fact, although both characters make an equal number of *directives*, they exhibit totally different characteristics which stem from the types of illocutionary force their directives create.

Table 5-6. Characters' type of *directives*

Types of directive IF	Erika	Walter
Question	1	3
Advisory	2	3
Requestive	0	9
Requirement	16	4
Prohibitive	0	0
Total	19	19

As evidenced in the duologue, Walter uses *directives* with the illocutionary force of *requestive* to draw Erika's attention and affection. According to Harnish and Bach's (1979) schematic pattern of *requestives*, in uttering SAs with *requestive* illocutionary force, S requests H to do A if S expresses i. the desire that H do A, and ii. The intention that H does A because of (at least partly) of S's desire. In ES 5, Walter *insists* on kissing Erika ('*Erika, Please*') and then starts kissing her passionately. In ES 9, as Erika warns and commands him to be quiet or she will leave, Walter draws on *begging* with the illocutionary force of a *requestive*. In ES 23, as Erika is going to leave abruptly in response to Walter's *objecting* (*the playing field has to be levelled*) (Table 5.4, Grab 23), again he *begs* her not to leave. In all Walter's *requestives*, from *begging* to *insisting*, he expresses his desire and *requests* her to let him kiss and not leave him. Walter also shows 4 instances of *requirement*, such as *ordering* and *objecting*. In ES 11, Walter *objects to* her ('*why do you hurt me?*') with the strong illocutionary force of *requirement*, as Erika abruptly stops fellatio and hence denies him the highest point of his sexual arousal. His *objecting* is also enhanced by his facial expression and the

direction of his head which slightly bends forward (the first Grab in ES 11). Similarly, in ES 21, he *orders* her with a requirement illocutionary force to let her know what she can and cannot do to a man. Although the illocutionary force of Walter's SAs of *begging* and *insisting* constitutes a *requestive* pattern, which might be associated with obedient and passive characteristics, the ultimate impression does not suggest such attributes. His *objecting* (ES 11) and *rebuking* SAs (ES 19) with the illocutionary forces of *requirement* and *advisory*, respectively, balance the submissive and passive impression viewers might form about Walter. At the end, although Walter seems cheerful and happy as Erika promises to write down her conditions and desires for him, there is an impression that he is repulsed by her perverted behaviour (for instance her intention to deny him his sexual satisfaction). His repulsion is evidently expressed in ES 19 through his *rebuking* (*it's totally sick what you're doing here and it hurts*).

In contrast to Walter's illocutionary force of *requestives*, Erika shows abundant instances of *directive* SAs such as *ordering*, *commanding* and *warning* with the illocutionary force of *requirement*. As discussed earlier in Excerpt 1, in uttering SAs with *requirement* illocutionary force, S requires H to do A if S expresses, i. the belief that his/her utterance, in virtue of his authority over H, constitutes sufficient reason for H to do A, and ii. the intention that H do A because of S's utterance (Harnish and Bach, 1979). Erika assumes a specific position of power for herself in relation to Walter: she is a professional piano scholar in Vienna conservatory and is a Schubert expert (a musician who Walter adores). In addition, Erika knows well that she is the one who has drawn Walter's attention and also the one whose love he pursues. She believes that because of her authoritative position over Walter, her utterances provide adequate reason for him to obey. Her authoritative and aggressive voice reminds of when she gives piano lessons in the opening credits of the film (see 5.3). From the very beginning of the sequence, she embarks on uttering chains of *commands* with a strong *requirement* illocutionary force (ES 4, 6, 8, 10, 12), whose strength is enhanced by her physical expression, as she constantly tries to physically distance herself from Walter (Table 5.4, Grabs 5 & 6). Moreover, Walter's *begging* and *insisting* SAs with *requestive* illocutionary force in response to Erika's SAs of *order* and *command* with the illocutionary force of *requirement* reinforce and intensify the force of her SAs. For instance, in response to Walter's expression of love (ES 9), she reacts unfavorably and draws on another *command* in a threatening voice (ES10) to which Walter *objects*. Erika's constant use of *command* and *order* characterizes her as an unyielding,

obstinate, authoritative and sexually deviant character in relation to Walter, and which is in direct contrast with the aspects of her personality that expresses in relation to her mother. Such expressions of her ambiguous nature revealed by her extreme behaviour portrays her as an inconsistent and unstable character.

The above analysis of the two film sequences demonstrates that this alone is not sufficient to determine the type of illocutionary acts expressed via characters' SAs. The reason is that in a specific context (for instance the verbal conflict between Erika and her mother) both interactants/characters draw upon SAs which in terms of illocutionary force, belong to the same SA category (*directive*). In both film excerpts analysed in this chapter, the characters draw constantly on *directives*, ranging from *begging*, *insisting*, *imploing*, to *order* and *commanding*, however the illocutionary force or the intentional content which each *directive* SA conveys differs substantially. Thus, a schematic delineation of each SA would help determine the type of illocutionary force present, as the general form of each utterance's illocutionary intention (for instance, *directive*) and the entries (*requestive*, *requirement*, *question*, *prohibitive*, *advisory*) provide the content in which the specific SA can be pigeonholed.

5.6.1 Multimodal acts

With regard to the second aim of the current study which deals with the role of film's multimodal elements in character creation, in addition to characters' verbal SAs, film's multimodal aspects such as aspects of *mis-en-scène* and setting, framing, camera work, and characters' gaze cue viewers to form distinct impressions of the characters. By drawing on their schematic knowledge of cinematic techniques, viewers can make sense of the contribution of cinematic devices to meaning-making.

A prominent example of this is when Erika commands Walter not to look at his penis but her face. Walter bends his head and looks at the off-screen, unrepresented point (ES 6). Walter's gaze towards this indefinite space is not visually presented, however it is through Erika's *vector* (Kress and van Leeuwen, 1996), i.e. the imaginary line connecting two participants, the 'actor' and the 'goal' (ibid.) which connects Erika's (as the actor's) gaze to the unseen point (as the goal) the implied presence of the sexual act is presented (Table 5.4, Grab 7). Through following Erika's vector, viewers can imagine/understand the off-screen, unrepresented ongoing sexual act. Another example of the meaning-making function of visual aspects is when Erika moves away to

wash her hands (ES 20). The static camera captures her in a long-shot as Erika is watching Walter masturbating. Again viewers do not have visual access to Walter's act of masturbation, however, the direction of Erika's gaze towards the point at which Walter is also looking establishes a vector between her gaze and what she is looking at (see Table 5.4, Grab 20).

The aspects of *mise-en-scène*, especially the setting, also contribute to Erika and Walter's characterization at the end of the sequence. When Erika opens the toilet door, the warm, live crimson colour of the hall is in sheer contrast with the cold lifeless white colour of the toilets (ES 24, last Grab). She does not step out of the toilet and it is Walter who leaves the cold setting. Her confinement in the white, cold-coloured room implies her imprisonment in her desolate and austere world from which she cannot break away. The choice of colours indicates the characters' emotional state: the cheerful, buoyant, and vivacious character of Walter which is in direct opposition with gloomy, grave and depressed Erika.

5.7 Erika's character development: The piecemeal integration

At this point, we address the first aim of the current research concerning the plausible cognitive processes involved in model viewers' character impression formation in terms of different schemas. It should be noted the functions of film schema (including narrative and film style and techniques schema) and pragmalinguistic schema (SAS) have been investigated in previous sections, particularly in 5.3 and 5.5, and 5.6. This section deals with the social plane, and the role of social schema in how viewers form an impression of Erika, as the main character. The analysis of the two excerpts above shows how the characters' (and Erika's in particular) different characteristics, dispositions and intentions are disclosed through their SAs and the illocutionary forces they perform. Although *directives* are the dominant SAs the characters tend to draw on, they are used with different illocutionary forces, ranging from *requestive* to *prohibitive*. The analysis of characters' *directive* SAs showed that while in the first sequence Erika presents the weaker and more submissive side of her personality in relation to her mother, in the second sequence, she exhibits a completely diametrically opposed side to her character in relation to Walter. Here, I discuss how Erika's character develops through the film by referring to the two sequences analyzed earlier.

In the first moments of the film, Erika's appearance instantiates the schema of a typical middle-aged woman. Her plain and make-up-free face communicates a sense of strictness. In this sequence, the salient appearance cues as 'the key inferential source' (Culpeper, 2001:110) and guides the viewer's initial impression in terms of Erika's group membership and social roles. The serious inconsistencies triggered almost immediately and the dynamics of her twisted relationship with her mother are revealed as her parent starts interrogating Erika as if she were a disobedient teenager by asking her where she has been and searching her bag. Having interrogated Erika, mother and daughter embark on a harsh physical struggle, which causes the disruption of viewers' schema of the typical mother and daughter relationship. Whereas a typical mother-child affiliation would foster mutual affectionate bonds, here, Erika and her mother have collapsed into a tormented vacuum, in which Erika, as a mature woman, lacks the appropriate boundaries to prevent her mother from searching her bag. As demonstrated in 5.5, Erika's weak and submissive character and her overbearing and domineering mother are clearly revealed in their *directive* SAs in relation to each other: while Erika frequently uses SAs with *requestives* illocutionary force (*begging, imploring*), the mother draws on *requirements* (*commanding, dictating*) in response (see Table 5.6). This pattern of contrastive SAs communicates Erika's emotional immaturity and the mother's dominance and authority over her.

As viewer's film comprehension and particularly character impression formation is a developmental process, other scenes must be referred to in order to confirm that the characters' attributes such as Erika's immaturity, weak-mindedness and submissiveness, as well as the mother's dictatorialness, are in fact established characteristics, which are recurrently reinforced in other scenes throughout the film. For example, in the recital party sequence, the mother tries to cover Erika's shoulders with a coat immediately after her performance. In the same sequence and during the reception, she attempts constantly to keep her daughter in her sight while Erika tries to fabricate lies to escape her controlling gaze. In the pillow talk sequence, when Erika tells her mother how one of her students has a talent for Schubert, she warns Erika, '*Schubert is your department. No one should surpass you!*' In yet another scene, the mother calls the private student's home to check on Erika and make sure that she is there. In other expressive scenes, Erika is very cautious in disguising her sexual desires from her mother, while at the same time she tries to force the mother to confront them. The significance of her mother finding a dress in her bag in the opening scene and moving the dressing table in front of

the door to keep her mother from entering her room when Walter comes to visit are examples of her double inclination to both hide and reveal her sexual fantasies. In fact, the mother and daughter scenes unfold episodic information, which is less informative if considered separately, however, they all form a gestalt impression about both characters and their relationship. On the significance of the episodic information, Emmott (1999:119) asserts that '[t]he episodic information about characters may seem insignificant or irrelevant at some points but there is an inherent link between them which jointly form a coherent impression'. All such fragmented and episodic information is drawn out from the mother-and-daughter scenes provides insights into both characters' identities and their envy, destructiveness, spoilt nature and the lack of appropriate boundaries in their relationship.

Erika's encounter with Walter in the toilet causes significant schematic clashes in viewers' impression of her. Erika's weak and submissive character (in relation to her mother) takes on a drastic change when she becomes a commanding, authoritative character (in relation to Walter) with obvious signs of sexual perversion. Her coercive personality is revealed in the thoroughly changed pattern of her SAs in relation to Walter (Excerpt 2). In the toilet sequence, she constantly draws on *directive* SAs with the illocutionary force of *requirement* (*order, command*) while Walter uses the same SAs with the illocutionary force of *requestives* (*begging, imploring* and *insisting*) (see Table 5.6). Her autocratic behaviour with Walter, especially during their sexual encounter is highly significant in a diagnostic capacity in terms of viewer's character construal. According to Fiske and Taylor (1991), attributes perceived as 'diagnostic' of category membership influence impressions most heavily (p. 105). The informativeness of a particular cue comes from viewer's ability to distinguish between different categories. For example, negative and extreme behaviours are perceived as particularly diagnostic. Some behaviours, such sadomasochism or sexual perversion is so extreme that they are seen as perfectly diagnostic of their respective categories. As Fiske and Taylor (ibid.) affirm, the diagnostic quality of negative behaviour holds for 'individuals and tightly knit groups, for which one's schematic expectations hold, but not for loose aggregates of people, for which the schematic expectations are less relevant' (1991:105). This means that viewers tend to have a specific, confirmed set of schema for categories of people who possess highly marked characteristics, such as being sexually perverted or being a sadomasochist, for which they hold schematic assumptions.

As a significant character attribute, Erika's sadomasochistic behaviour towards Walter in the toilet scene is also explored in other scenes, which gives rise to the invocation of a deviant-person schema in viewer's perceptions. Her sexual abnormality is not an episodic characteristic, and, like the tormented relationship between Erika and her mother, is manifested sporadically in other scenes: she is never portrayed having a normal sexual relationship and seeks her pleasure in fetishistic, non-conventional and deviant ways. In a sequence, we see Erika entering a local sex shop and returning the gazes of the men who stare at her. Later on, as she is watching a porn film in the sex booth, she reaches into a wastebasket and pulls out a used tissue (which presumably has been used by a previous customer to clean up ejaculate) and inhales it while her face reveals an unusual pleasure. This scene, as our first encounter with her sexual fetishism, acts as the 'instrumental' header, which is 'an action that may lead to the activation of a particular schema' and invokes a particular schema for a deviant person (Schank and Abelson, 1977). Later on, she voyeuristically spies on a couple copulating in a drive-in. In another sequence, when Walter visits her, in response to his passionate sexual advances, Erika gives him a letter with a detailed list of the sexual demands which she promised in the toilet sequence. Thus, through these scenes, viewers' schematic assumptions about Erika as sexual pervert are reinforced.

In trying to understand Erika's sadomasochistic acts, viewers who lack a schematic knowledge of sexual disorders may get confused and have difficulty in understanding the character's actions. However, having the relevant schema facilitates the process of understanding the character's behaviour and making inferences about it. According to Fiske and Taylor (1991), people, as well as viewers, can recognize other people and events from the story more quickly when they apply a schema (p. 105) than when they don't. Erika's sexual disorder – indicated by her visit to the sex-shop and watching porn films, self-harming and her unusual sexual demands – can be better understood when viewers instantiate them through the respective schema.

As discussed in Section 2.5.3, person and context are closely related in the sense that a stereotypical member of a particular social category will tend to exhibit the typical attributes which those belonging to that category will exhibit within the context in which they are expected to be. Fiske and Taylor (1991:122) suggest that because people belong to multiple categories and because they vary their behaviours to fit different contexts, the most useful way to conceptualize and categorise people can be 'a compound person in situation'. In films, viewers associate certain characters with

specific contexts. For example, based on our stereotype of a piano teacher, we expect to see Erika in locations like a conservatory, rehearsals and concerts – at least often. Similarly, the same schematic expectation is true about the place schemas according to which we tend to associate certain contexts with specific types of characters. For example, we would expect to see men who have a perverse interest in sex patronizing a sex shop, rather than a middle-aged woman. Both social schema and place schema are activated when a character is bound to a specific location. When Erika enters the sex shop, viewers' social schema for a middle-aged woman with widely-assumed attributes, as well as the schema for a widely-acclaimed pianist like Erika, and also the place schema for a typical sex shop, in which customers pay to watch porn films, is activated. This results in a schematic clash as viewers are surprised to see a severe-looking, middle-aged, female Schubert scholar in a sex shop. On the other hand, this also clashes with viewers' place schema of a sex shop which presents a professional woman in her thirties as a customer. Such schematic clashes cause 'piecemeal integration' (Culpeper, 2001; also see 2.6.1), which happens when the impression of character is formed via bottom-up processes and primarily based on the character's individual attributes rather than the top-down imposition of character in terms of what we expect them to be like based on their social and professional affiliations. The result of such clashes creates in viewers a gestalt impression of Erika's character, where they gradually integrate these paradoxical inferences given at different scenes in a bottom-up fashion to assess, reevaluate and update their impression of Erika's character. Accordingly, Erika's character is construed as a professional, sexually abnormal, non-conventional, middle-aged pianist with sadomasochistic tendencies who is severely controlled by her mother.

5.8 Summary

The character impression formation analysis conducted in this chapter illustrates how film viewers presumably understand the three characters' attributes by drawing on their prior knowledge of social, film and pragmalinguistic (specifically SAS) schemas. Through multimodal analysis, this chapter discussed how the relevant immediate contextual inferences provided by different visual choices in the film text – for instance, the colours used in the setting and character costumes, and also the camera work, particularly in the second excerpt of the film (5.6 and 5.6.1) – establishes viewers' schemas.

In terms of character's identity construal, the analysis explored how the protagonists' individual attributes are revealed through her relations with other characters and how *The Piano Teacher*, as a 'round' character (Forster, 1987) deviates from viewers' initial social schema of her as a stereotypical piano teacher.

It was also demonstrated how Haneke's film, following the tradition of art and *auteur* film (see Appendix 1) deviates from the conventional norms of mainstream cinema, notably in terms of character and genre. To understand such deviations, viewers motivate them by means of their procedural schema, as the operational protocols, which help them to comprehend film where their schematic knowledge is inadequate.

In summary, the above analysis shows that as viewers follow the film's narrative, they may retain, at least temporarily, the information within different scenes and use it to create an overall context for the plot. Although there may be no inherent link between the (episodic) information, viewers tend to create a context from these fragments of information, as in the film, different encounters with Erika's nonconventional sexual tendencies work to change and establish the audiences' initial impression of her as the downtrodden victim of an overbearing parent, to a dysfunctional, sadomasochistic, sexual deviant with intimacy issues.

6. Analysis (2): *Autumn Sonata* (1978)

6.1 Introduction

Chapter 3 discussed how film dialogue, along with specific visual aspects, contributes to character identity construal and how characters' pragmalinguistic behavior, particularly SAs – as the individual properties of characters' speech and the social dynamics of their interaction – cue viewers to form particular impressions about them. Chapter 3 also argued that viewers can establish impressions about characters' identity, their social categories and roles, as well as their interpersonal relations on the basis of characters' SAs, as their verbal acts can activate a particular network of personality traits, and thereby, directly affect viewers' understanding of the characters' identities.

In the model of SAS in proposed in Chapter 3, the classic theories of SA (Austin, 1962; Searle, 1969) were criticized for failing to address the naming problem, the difficulty of distinguishing among related SAs, discordance between locutions (grammatical forms) and the intended illocutionary forces, the impossibility of justifying all instances of one SA (especially the non-prototypical ones¹) in different contexts according to Searlean conditions, and the lack of context treatment. Having addressed such problems, SAs are envisaged as cognitive schemas in the present study, and its schematic approach allows us to conceive the different variations of SAs which will be instantiated in the analysis. In terms of SAS, the illocutionary force can also be performed indirectly through characters' paralinguistic aspects or cinematic means. This schematic approach is appropriate for the analysis of SAs in film, in which the characters' locutions and their intended illocutions are performed or enhanced by visuals in terms of both characters' paralinguistic behaviour, (such as gestures and facial expressions), and by means of cinematic techniques, (such as *mise-en-scène* and cinematography).

The cognitive process of SA comprehension involves the viewer's comprehension of a given locution – which can be uttered or expressed verbally,

¹ Non-prototypical SAs refer to those SAs that loosely conform to the principles of the (prototypical) SA delineated by Searle (1969). SAs which are performed indirectly or by means of paralinguistic and/or multimodal devices are instances for non-prototypical SAs.

visually and/or paralinguistically – detecting the interactive frame of an interaction (the context), and uptaking the inferred illocutionary force of the utterance as a result of interplay between interactants' prior knowledge and the immediate textual cues presented. Accordingly, the comprehension procedure analysis conducted in the current study illustrates how viewers presumably understand the SAs operating at the different levels of the film's narrative through the relevant immediate contextual premises and their background knowledge.

This chapter, as the second analysis of the current study, deals with the application of the proposed framework for SAS to *Autumn Sonata* (1978), a film by Ingmar Bergman. As discussed in 4.2.2, *Autumn Sonata* benefits from its use of music score as an expressive medium: at particular points in the film, the characters express themselves by means of the music they play. In other words, their interpretation of a Chopin piece provides a characterizing function for them. The characters' musical interpretation can be interpreted as an SA in itself with SA-like specifications (the locution, illocutionary and perlocutionary forces) with regard to this study's schematic approach. The characters' musical interpretations, as self-expressive acts which are performed non-verbally, can be interpreted as communicative acts which disclose specific aspects of their characters. A brief summary of the film is presented in Appendix 4 which discusses how the film establishes itself as an art film, in the sense that it does not revolve around events; and thus, actions have little significance in the narrative progression of the film, rather, the characters' verbal acts and their effects function to drive the narrative

In addition to the characterizing function of the film's score which is interpreted in terms of SAS, the other value of the film is that overall, it can be assumed to be narrated by a 'homodiegetic' narrator (Genette, 1983; also see 1.5.2), a character-narrator who as an eye-witness is also present in the story's diegesis. As discussed in detail in 4.6.2, the presence of a homodiegetic narrator adds another level of SAs performed throughout the film's discourse. Against *The Piano Teacher*, in which the narrative agent is assumed to be the camera, in *Autumn Sonata* the narrative is told by the camera but through the eyes of a homodiegetic narrator. The analysis of different types of SA performed by means of specific verbal and non-verbal modes at various levels of the film discourse in *Autumn Sonata* yields enough material to reinforce the schematic approach to SA which maintains that SAs, as characterizing acts, can be treated like schema (see 3.3). Section 6.2 deals with the general description of the

multimodal elements, including aspects of *mise-en-scène* (setting, characters' costume and make-up), paralinguistic behavior and camera work. Section 6.3 discusses the narrative of the film, its components, and how viewers plausibly comprehend it in terms of the narrative schema. Section 6.4 examines the SAs performed at different levels of the film: the filmmaker's SAs and how they prepare viewers to construct the fictional world of the film is discussed in 6.4.1. The narrator's SA and how his VI monologue directly presents and describes the protagonist are dealt in 6.4.2. The characters' SAs and different types of SA performed verbally and non-verbally are investigated in 6.4.3. The whole scene as the excerpt under analysis is divided into two parts: (i) the playing piano scene and (ii) how music functions as SAs are discussed and analyzed in 6.5. The subsequent duologue, in which the two main characters are engaged, is analyzed multimodally in 6.6 to investigate how the characters' verbal and non-verbal acts facilitate their characterization as well as their interpersonal relations. The viewers' overall impressions, which are plausibly based on the characters' verbal and non-verbal – as well as multimodal elements – are discussed in 6.7. Finally, the main points discussed in this analysis are summarized and revisited in 6.8.

6.2 Assessing *Autumn Sonata*'s cinematic/visual aspects

This section offers a general description of the marked multimodal aspects of the film as addressed by the suggested multimodal toolkit for character creation in 2.3.1, including aspects of *mise-en-scène* (setting, costume, colour composition and design), and paralinguistic behaviour, including facial movements. This is because, in the multimodal analysis of the ESs (6.5 and 6.6), the multimodal aspects will be discussed in detail to capture the intended meanings and functions of the characters' dialogues (verbal and non-verbal), and particularly their SAs.

The setting for the majority of the film is Eva's living room which is dominated by a grand piano in the centre. Charlotte (the mother) is usually dressed in classic, chic clothes. For instance, in the ESs which is analyzed in 6.5 and 6.6, she is wearing a long red dress, with a classic pearl necklace, in which she looks stylish and elegant. In contrast, Eva is wearing a pale green Peter-Pan style dress. This child-like costume, her big round glasses, together with her childish old-fashioned braided hair visually characterize her as a puerile, melancholic and retentive person.

In terms of visual prominence, Eva is more grounded as the colour of her dress is more in harmony with the general colour composition (warm, autumn-like colours) of the setting. Charlotte, in contrast, seems more ‘figured’ (Koffka, 1932) as her bold, sheer red dress together with her pretentious and pompous behaviour, bring her to the foreground. In addition, the yellow filter of the camera, which creates a warm autumn-like atmosphere, intensifies the red colour of her dress in contrast with the pale green of Eva’s dress.

In addition to the aspects of *mise-en-scène*, characters’ paralinguistic behaviour have a significant characterizing value. Eva’s facial expressions, which are intensified by Bergman’s merciless CUSs, portray her as a hesitant, immature, anxious woman. In contrast with Eva’s paralinguistic behaviour, Charlotte’s assertive voice and her cold, confident and some-how stone-like face, together with her pretentious body movements (for instance, when she talks to her agent or as she plays the piano) characterize her as a self-assured woman, who assumes that she has everything under control. Concerning the camera effects, the characters are mostly shot in CU and ECU (extreme close-up), particularly when they are in direct interaction (for instance, when they address each other) to capture their minutest reactions. As is discussed in the analysis of excerpts 6.5 and 6.6, such multimodal aspects, especially the characters’ ‘facial expression of emotions’ (as involuntary movements) (Bednarek, 2010:161), are the most prominent characterizing devices, particularly in the absence of dialogue, in the piano playing ES.

6.3 Film narrative

With regard to the first aim of this project, (the role of viewers’ schema in film comprehension and particularly character impression formation), this section deals with the function of narrative schema and its components and how viewers plausibly understand the narrative of the film. The narrative tells the story of a celebrated pianist who is confronted by her neglected daughter (see Appendix 4). As described in the procedure of the analysis (4.4), to analyse the film’s narrative structure, Branigan’s (1992) expanded narrative model derived from Labov and Waletzky (1967) with eight recursive components, which constitutes the narrative schema, is used (see 2.7.1 for a description of narrative schema). In terms of the components of the narrative schema,

the film's narrative can be segmented into the following components which demonstrate the plausible trajectory of viewers' narrative comprehension:

Abstract: The abstract of the film is presented in the opening sequence in which Viktor, Eva's husband, as the narrator of the story, sits in front of the camera and talks about Eva, her childhood life, their marriage and their son. His introductory monologue, in which Eva's character is described, informs the viewers that the story is all about her and the significance of Viktor's presence as the narrator is to tell 'Eva's story'. Such an inference is visually reinforced by Eva appearing in the background, sitting at the desk and writing while Viktor is narrating. This sequence, as the abstract of the film narrative, provides valuable initial information about Eva's character and serves to induct viewers into the film's world.

Orientation: The description of the present state of affairs in the film's timeline (place, time, character) is orientated by the second sequence, in which Eva is seen writing a letter to her mother and her discussion with Viktor about inviting her to their home. These events provide broad brushstrokes to illustrate the current state of affairs in the film. The fact that Eva and her mother have not seen each other for seven years, as the mother has been busy with her concert tours, and that she has recently lost her lover are all revealed in the course of her dialogue with Viktor, and also by her reading the invitation letter, in which Eva has kindly asked her mother to come over. Eva's words about her mother provide viewers with their initial impression about her character before she is presented.

Initiating events: In terms of Branigan's (1992) definition of an initiating event which maintains that 'an initiating event alerts the present state of affairs', two episodic initiating events can be realized in *Autumn Sonata*.

The sequence (almost at the beginning of the film) in which Charlotte is informed that Eva takes care of her disabled and paralyzed sister Helena, whom she has taken out of hospital into her own home. By seeing Helena, Charlotte feels frustrated, anxious, guilty and regretful about accepting Eva's invitation, as the presence of her younger paralyzed daughter in Eva's house is shocking to her as an ageing mother. From the time of the mother's arrival, this is the first time that viewers are informed about their unstable and fragile mother/daughter relationship, which sets the tone for the film's overall interpersonal atmosphere.

The second initiating event is the piano-playing sequence, in which the mother and daughter play the same piece using their own interpretation for each other. The music

and the following discussion on its interpretation communicate a mingled sense of anger, respect and admiration (on behalf of Eva) and set the initial warning about their relationship (also see 6.5 and 6.6 for an analysis of the sequence). By these two initiating events, viewers are notified about the characters' current interpersonal situation.

Goal: In terms of Branigan's (1992) definition of goal, which is the emotional response of the main character to the initiating event, Eva's goal can be realized in her extreme anger and hatred towards her mother, as a result of her mother's negligent and self-loving behaviour. When she tries to express her feelings about this, it results in Eva blaming her in the course of a harsh verbal conflict.

Complicating action: As an essential component of narrative (see 2.7.1), the complicating action happens when Charlotte wakes up from a nightmare in which Eva is choking her. She walks into the living room where Eva is unable to sleep. Mother and daughter begin an impassioned rediscovery of their past relationship in which Eva harshly accuses her mother of negligence and self-obsession, which has caused hatred in her and Helena, her sister. This bitter argument is visually intensified by the ECUs (extreme close-up shots) of their anxious, frustrated and irritated faces in two-shots that depict the two characters in the frame.

Resolution: As the component in which the new equilibrium or state of affairs is established, the film narrative comes to an end in the last sequence, in which Eva sends her mother a letter some days after her departure. The letter starts with the words: "I realize that I wronged you." The mother reads the letter in which Eva leaves open the possibility of a future reconciliation as the film ends.

Epilogue: as an art film, in which the ending and characters' final reactions tend to be left unresolved and unexplained, the film narrative lacks an explicit epilogue in terms of the characters' reaction to the resolution. Although it is not directly expressed, the film concludes with a visual epilogue, in which Eva and Charlotte's CUs appear on the screen alternatively, as they stare at the camera. Eva addresses her mother and asks for forgiveness. Their pale smile and hoping eyes can be taken as their final reactions.

6.4 Levels of SA in the film's narrative

In terms of the scope of SA analysis, three levels of SA can be realized in the film discourse:

1. The filmmakers' SA: The filmmaker(s)' general SA of *invitation* to imagine the fictional world carried out through verbal and visual signifiers functions as an introduction to the film's narrative world which thereby prepares viewers to watch a *Bergman* film.

2. The narrator's (Viktor's) SAs: The importance of the narrator's SAs in *Autumn Sonata*, as pointed out in the introduction, is that his SA has an overarching function in which the characters' SAs are embedded.

3. The characters' (the mother and daughters') SAs: the SAs performed on this level of narrative constitute the development of the narrative. As *Autumn Sonata* is an art film, its narrative is not developed by events but by narrative progression.

The SA analysis begins with the filmmaker(s) creative act (see 3.5.1) which functionally sets up the viewer's initial expectations and prepares them to construct an understanding of the film's fictional context.

6.4.1 The creating/inviting act of the filmmaker

As pointed out in Chapter 3, narrative films tend to implicitly negotiate the 'let me tell you a story' theme as the opening frames appear on the screen. Like the deep structure of every literary work, the narrative of *Autumn Sonata* is assumed to be understood as the author's/filmmaker's act of *creation* and *imagination*. The title of the film *Autumn Sonata* hits the screen (Grab 6.1) as the film opens, immediately followed by the words *A film by Ingmar Bergman* (Grab 6.2). Such locutions implicitly function as the tacit SA of *invitation* and *summoning up* (or other SAs with a similar illocutionary force) to construct a 'possible world' (Ryan, 1991; Semino, 2002; also see Chapter 3). The filmmaker's act of *invitation* to imagine this fictional world is carried out indirectly through the general *requestive* illocution. Furthermore, the SA of *assertion* can also be realized as we are informed verbally that this is a Bergman film through the locutions of the opening credits (*A Film by Ingmar Bergman*) which itself

establish a body of expectations associated with Bergman's work as an *auteur* (see Appendix 1).

The audio-visual signifiers (the soundtrack and colour-composition) in the opening frames of the film cue the viewer to form an impression of the film's general theme. The warm toasty colours of crimson, pale green, orange, and light brown, accompanied by a melancholic flute-based soundtrack (Handel's sonata F-dur, opus 1) enhances an autumnal impression, which has already been verbally mentioned in the film's title and encourages the viewer to construct a story world associated with autumn which symbolically represents the demise of the mother/daughter relationship.

Grab 6-1. The opening of *Autumn Sonata*



It should be noted that the schematic approach to SA proposed in Chapter 2 – which holds that SAs can be conceptualized as schematic constructs – allows us to think of different forms of SA expression, as in the opening frames of the film, the filmmakers' act of invitation to imagine the possible world of the film in terms of its setting and general theme is carried out visually and verbally. The next section deals with the narrator providing a verbal account of the plot within which other local speech acts are embedded.

6.4.2 The narrator's (Viktor's) act of narration

This section identifies the narrator's SAs and the illocutionary forces that operate at the narrator level. Such specification is crucial because of the narrator's SA, as the macro SA of *narration*, overarches the other SAs performed at other levels of the narrative, including the main characters' SAs, and hence, string them all together. The overarching function of Viktor's act of *narration* is further reinforced by his recurrent presence. As a witness of the story, he appears every now and then, either in the beginning or middle or at the end of a situation and comments on events. On occasion,

the camera movements inform us that he witnesses whatever is taking place (e.g. the mother's and daughter's verbal acts) in the story. For example, in the piano-playing sequence, as Charlotte insists that Eva play a piece, the camera turns to show Viktor sitting on a sofa and smoking a pipe as he reminds Eva of her wish to play for her mom (*you always wanted to play for your mom*). In the sequence depicting the mother and daughter's argument, when Eva shouts at her mother for insisting that she had an abortion when she was 16, Viktor steps down the stairs slowly and calmly and overhears their resentful argument. In fact, Viktor is present visually or by means of his V.O. narration in most of the sequences, as if we watch the bulk of the events through his eyes.

The narrative opens with a long shot of Eva writing at a table in a warm-coloured living room. This descriptive shot is accompanied by a man's V.O. (*sometimes I stand looking at my wife*), whom we immediately realize is her husband. Having embarked on the act of *narrating* and *recounting*, Viktor positions himself as the 'homodiegetic' character-narrator (Genette, 1983), i.e. a narrator who is internal to the 'diegesis' (the narrative world); he stares into the camera in a theatrical fashion, and just like a prototypical narrator, addresses the viewer (for a detailed discussion of VO narrator and its SA functions in film see 3.5.4.1).


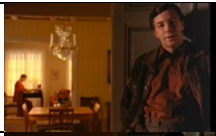


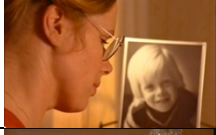
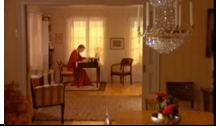
As a homodiegetic narrator, Viktor performs a variety of character-bound SAs with various illocutionary forces since characters' and narrators' functions both resonate in the discourse (Bernaerts, 2010:282). This means that such a narrator performs the typical SAs of both narrator (e.g. *recounting*, *narrating*) and the characters. Homodiegetic narrators, like film characters, can address different characters in film discourse, including narrator-to-implied viewer (see 3.5.5, for a discussion of how film characters address different addresses in the film discourse by their SAs). As the character-narrator, Viktor turns to the camera and talks to the (implied) viewers, who are assumed to be watching him, and thereby addresses them *directly*. Moreover, his position in front of the camera, as well as the camera's eye-level shot, together with the 'vector' (Kress and van Leeuwen, 1996) as the invisible line which connects the actor (Viktor) and the goal (the implied viewers) contribute to convey the illocutionary force of *address*.



Other local SAs are embedded within his inclusive prototypical act of *narrating* and *recounting*, which constitutes his global SA as the narrator. In fact, the considerable bulk of the information concerning their marital life, as well as Eva's background, is

conveyed through SAs other than *narration*; without them the viewers' knowledge would be lacking (considering the fact that aside from this sequence, nothing is mentioned about how Viktor and Eva met and got married).

In Table 6.1, Viktor's expressive sequences are transcribed in the first column and the provisional illocutionary forces of each utterance are provided in terms of the accompanying visuals. As Table 6.1 shows, in the course of his monologue, Viktor mostly *recounts* and *interprets*. The act of *recounting* and *interpreting* frames any explanation, which attempts to account for something in terms of the story itself without going outside of it. When he talks about Eva, his act of *interpretation* encompasses SAs of *identifying* and *characterizing*, which can be conceived as local SAs embedded within Viktor's global act of *narration*, *recounting* and *interpretation*: He *recounts*, *narrates*, and *interprets* globally, while he occasionally *characterizes* and *identifies* Eva as his wife.

Table 6-1. Viktor's act of 'narration'

	Expressive section	Visual/Grab	SA
1	Sometimes I watch my wife, without her being aware of my presence. The first time she entered that room, she said, "it's good. I want to be here."		Interpreting Recounting
2	We'd met only a few days before, at a bishop's council in Trondheim.		Interpreting Recounting
3	She was the correspondent of a church magazine.		Identifying
4	We met at lunch, and I told her about the vicarage here. I ventured to suggest we come here after the conference, on the way here,		Interpreting Recounting
5	I asked her if she would like to marry me. She did not reply.		Interpreting Recounting
6	But when we entered this room, she turned to me and said, "It's good. I want to be here."		Interpreting Recounting

7	Ever since then we'd lived a good and quiet life here at the vicarage (<i>recounting</i>).		Interpreting Recount
8	Eva has told me about her life. After school, she went to university. She was engaged to a doctor and lived with him for several years. She wrote two little books . (<i>Identifying/characterizing</i>).		Recounting/I identifying

Aligned with Viktor's accounts of his life with Eva, the camera, as an unvoiced visual narrative agent, contributes to viewer's uptake of Viktor's act of *narration*, *identification* and *characterization*. The distinctive act of the camera is that of narration, which chiefly refers to its characterizing function in which the camera, as a narrating agent *displays*, *describes* and *shows* the characters' attributes, and in other words, *narrates* their character.

Within the camera's characterizing function is its act of character 'filtration' (Branigan, 1992:45) when the camera acts as a filter to portray the characters, their acts and attributes (see 3.5.4.1). The camera alternatively functions both as the external and internal focalizer¹: in the opening scenes of the sequence, the camera, as an internal focalizer, coincides with Viktor's perceptual point of view. The words (*Sometimes I watch my wife, without her being aware of my presence*) along with a descriptive long shot of Eva, writing at her desk, reflects Viktor's subjective perception of her as the focalized character and allows viewers to experience events from Viktor's eyes. Viktor is present in almost all sequences of the film, although he predominantly sits silently, smokes a pipe and rarely speaks (except during the opening and closing scenes). The occasional cuts to medium shots of him observing the interaction between mother and daughter, and again shifting to his perceptual point of view imply the subjective perspective from which viewers perceive the events. In such moments (i.e. framing Viktor in a medium shot) the camera is externally focalized, in the sense that it detaches from its internal focalization function, which is Viktor's subjective point of view and captures the characters, including Viktor (as the narrator) in a long-shot. Such camera alternations and shifts from external focalization to internal and *vice versa* corroborate

¹As discussed in 3.5.4, focalization refers to the perspective through which the story is narrated.

the fact that we are hearing and watching, if not all, but most of the narrative from Viktor's point of view.

6.4.3 Characters' SAs: the verbal/non-verbal events of a tormented relationship

The dialogue between mother and daughter can be classified as a 'duologue' (Kozloff, 2000), as it involves only two interlocutors. As one of the most fundamental structures of on-screen speech, duologues involve a dramatic necessity, in which two characters in conversation provide action and suspense – give and take. Throughout the film, the mother-and-daughter duologue encompasses a whole gamut of SAs such as *accusation*, *justification*, *confession*, *denial*, *convincing*, *admitting* and *apology*. Charlotte's illocutions of *infantilizing* and *bragging* are manifested throughout her SAs and illocutions. Eva, as the recipient of such directive illocutions, employs more submissive, yielding and deferential verbal and non-verbal behaviour and tends to look up at Charlotte as her mother and admire her as a prominent pianist.

An SA reading of the selected scenes negotiates the claim that the types of SA which characters tend to use is related to the amount of power they have in relation to each other as well as their objectives, personality and the social roles they exercise (see 3.4). In the first sequences of the film, Charlotte's global linguistic behaviour is characterized by her tendency to use directive SAs with *infantilizing* and *bragging* illocutionary force. She treats Eva like an immature child who needs to be taken care of. Such an attitude towards Eva forms the deep structure and the global illocutionary force of all her locutions. In fact, the mother rarely draws on prototypical *directive* SAs, such as *command*, *order* and *dictate*, which can schematically be associated with infantilizing intention in this context of mother and daughter's conversation; however, the illocutionary force of infantilizing is embedded implicitly in almost all her utterances. In other words, her illocutions are often conveyed both directly and implicitly, and through the sophisticated use of indirect SA.

Another characterizing feature of Charlotte's words is her engagement in ego-centric and self-absorbed chatter. This is highly marked from the beginning of the film where after few words of greeting, Charlotte embarks on a talk about Leonardo's death, the man with whom she had lived for thirteen years, and explains how painful his loss was. Suddenly, in an abrupt topic change, she switches from mourning to a self-praise

monologue and talks passionately about her new coat. As the addressee/recipient of Charlotte's vain words, Eva listens obediently and amenably to her mother's self-absorbed chatter. As the 'prospection' (Toolan, 1998:147) or the expected perlocutionary effect, she praises her mother and responds willingly.

In fact, Charlotte does not appear like a typical mother visiting her daughter after a gap of seven years. Her self-absorbed talk about her life, her recently-passed away Leonardo and her piano tour across the globe leaves no space for Eva to talk about herself and express how delighted she is to see her mother after such a long time. However, as the film goes on, the daughter all the while regards her mother with mingled amusement and suspicion. The suspicion turns into hostility, and gradually, Eva rebukes her mother's self-secured authority. The first signs of such a change are evident in the piano playing sequence, in which the mother and daughter play a prelude for each other and the subsequent duologue. In this sequence, the main characters' SAs are performed both 'verbally' and 'non-verbally' via the pieces they play for each other. In the following scene analysis, firstly the piano-playing scene is discussed and second, the subsequent duologue is analyzed in terms of the characters' SAs and how their illocutionary forces –

along with visual properties – characterize them. The entire music-playing sequence is segmented into two parts: the piano-playing scene, in which the characters' interpretation of Chopin's prelude constitutes SAs of *revelation/disclosure*, and the 'duologue' (Kozloff, 2000) in which the mother remarks on her daughter's performance. As will be discussed in 3.5.5, the characters' SAs are carried out both *verbally* (as the prototypical form of SA performance) and the act of playing and the characters' interpretation of the prelude, but also in conjunction with non-verbal/multimodal elements, particularly *mis-en-scène*, body movement and facial expression which realise the speech acts and accordingly can be interpreted in terms of SAS.

6.5 Excerpt 1: The multimodal expression of SA: the musical articulation of the interpersonal relationship

The piano-playing sequence, in which the mother and daughter play Chopin's A Minor Prelude successively for each other, is the moment when the mother and daughter's SAs are carried out non-verbally and through the multimodal (audio-visual) signifiers. This sequence also reveals the first and primary surprise about the mother and daughter's interpersonal relationship: the concealed conflict between them, which from the beginning has been concealed by indirect SAs, and is now revealed musically. In terms of the 'interactive frame' (Tannen, 1993) or the interactional context in which the types of SA can be inferred based on the interactants' role (see 3.3.2), this sequence can be viewed as a conversation between a mother and daughter who have been suffering a tormented seven-year relationship. Having understood this interactive frame – which is perceived gradually through the preceding encounters between them in the earlier sequences – viewers tentatively build up particular expectations concerning the potential illocutionary forces of the mother's and daughter's SAs. Therefore, viewers do not expect to hear utterances involving the illocutary force of hearty chatting, which would be stereotypically associated with mother-and-daughter talk.

The prelude played by mother and daughter successively functions as a SA of *revelation* and *disclosure* with a general *informative* illocution. The act of *revelation* and *disclosing*, carried out implicitly by both interpretations, can be schematically delineated in terms of the SAS. Grounding the claim on Searle's (1969) 'felicity conditions', and drawing loosely on Bach and Harnish's (1979) suggestion for the generic components of the SA of *revealing* and *disclosing*, the contextualization of such SAs in this expressive sequence can be outlined as follows:

Table 6-2. Schematic delineation of SA of revelation/disclosure

[S=speaker, H=hearer, E=expression, A=act, C=context of the utterance]

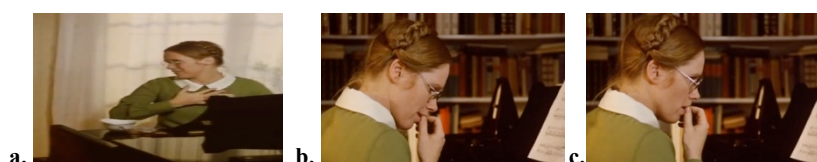
Proposition	Contextualization
Prepositional Content: S [the doer] utters/expresses/shows A to H; thereby S informs H of A.	Eva and Charlotte play the Prelude for each other, through which their emotions towards each other become apparent: Charlotte's expressive look is a mixture of condescending, criticizing and patronizing, and Eva gives an impression of anguish, suffering and distress (see Grabs 6 and 7).
Preparatory condition: S knows some facts or previously unknown secrets, which the other one does not know.	Eva and Charlotte are not aware of the other one's feelings about each other.
Sincerity condition: S wishes to make H know A (e.g. is not revealing A under duress).	According to what we have perceived from the previous sequences, both Eva and Charlotte wishes to express themselves to each other and talk about their

	feelings; however, they may not aware of the revealability of their interpretation of the music piece they play for each other. In fact, there is <i>no force</i> for Eva and Charlotte to express their feelings (expressing/telling something without force and willingly – not under duress – counts as the sincerity condition of <i>disclosing</i> or <i>revealing</i> , according to sincerity conditions of a prototypical SA). However, their feelings and emotions and their state of mind are revealed in their interpretation of the prelude during playing, the schematic view of the SA allows us to perceive a variation of the SA of <i>revealing</i> or <i>disclosing</i> , where the participants wish to make others aware of something that they know, but they are not conscious about the exact act of revelation.
Essential condition: A counts as a disclosure or revelation of A.	Both the interpretation of the musical piece (Eva's childish, naïve and her hesitant performance in contrast with Charlotte's mature, confident and professional performance) contribute to disclose their feelings about the other one.

Charlotte and Eva play the same prelude differently according to their own interpretation of the music piece. The illocutionary force of each one's interpretation varies considerably and this is supported by visual aspects, significantly the characters' paralinguistic cues, e.g. facial expressions and body movements which clearly illustrate the meaning of the intended illocutionary forces of their performances. Moreover, the immediate emotional effect of each player's interpretation on the other is visually inferable through the characters' gaze and facial responses.

Considering Eva's facial expressions and body movements, it is apparent that her face conveys a sense of hesitation, insecurity and apprehension for most of the piece. This apprehensive impression is indicated in her forward-inclined, low-hung head, slumping posture, nail-biting, playing with her fingers, turning a ring around her finger, and looking at her mother hesitantly, all of which clearly communicate her uncertainty and lack of confidence (Grab 6 a-c).

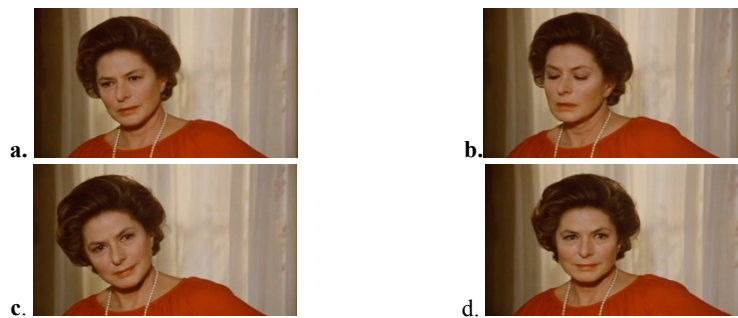
Grab 6-2. a.c Selected Eva's facial expressions



While Eva is playing, Charlotte is framed in a medium close-up and the camera gradually zooms into her face. The rhythm and kinesics of the movements are at a minimum in this sequence as she is silent and virtually motionless. As Eva plays the piece with a kind of emotional intensity, a range of expressions appear on Charlotte's

face. Charlotte stares into space, her lips gradually pressed and her forehead furrowed (Grab 6.3a). After three seconds, she stares at Eva and smiles faintly, then looks slightly downwards and closes her eyes for two seconds (Grab 6.3b). Having taken two short deep breaths, as if she is gasping for air, she raises her eyebrows slightly and stares at Eva with a mix of anguish and a pale smile (Grab 6.3c). When Eva is about to finish the piece, it seems that Charlotte is about to cry but she holds back her tears and gets a grip on herself (Grab 6.3d).

Grab 6-3. a-d Selected shots of Charlotte's facial expressions during Eva's playing



Charlotte's facial expressions (her straight posture at the piano, her serious and almost motionless face during playing), in contrast with Eva's, are particularly indicative as she plays the prelude; her face conveys a sense of authority, confidence, seriousness and skillfulness (Grab 6.4a). We see how she touches the piano keys efficiently in a close-up shot of her hands (Grab 6.4b). Charlotte looks confident and emotional in a controlled way as she plays the piece.

Grab 6-4. a-b Selected shots of Charlotte's face and hand while Eva is playing the prelude



When Charlotte plays, both mother's and daughter's faces are tightly shot in close-up. Charlotte, with her head slightly bent down, is looking at the piano keys (Grab 6.5a). Her face, as discussed earlier, showing the confidence, authority and perspicacity of a professional pianist, remains unchanged throughout her playing. As she is playing, Eva is looking at her hands in astonishment as if amazed at her mother's flawless performance and her capacity for expressing her feelings via the music (Grab 6.5b-c). Then, slightly open-mouthed, she stares at her mother's face in anguish. She bends her

head down as if she is emotionally ruined as the music continues (Grab 6.5d). The choked involvement of emotions through the playing touches upon her loneliness, self-consciousness and the confrontation of painful past memories.

Grab 6-5. a-d Selected shots of Eva and Charlotte's facial expressions as Charlotte plays



In fact, both characters' interpretation of the piano prelude becomes more revealing when they are examined in the light of the mother and daughter's tormented relationship. In terms of SA, each one's performance *reveals/discloses* their feeling and emotional status. In other words, each interpretation acts as a catalyst which discloses Charlotte's self-determination and self-absorption and Eva's vulnerable, doubtful and child-like personality.

Based on what was explained earlier in this section, we can summarize that the SAs which constitute this expressive sequence are carried out through the film's musical score rather than prototypical verbal codes. However, by adopting a schematic view of SA legitimizes their conceptualisation them as non-prototypical variations of *reveling* and *disclosing* as both interpretations of the prelude involve acts of expression (playing the piece), the force or intention underlying the act (the emotions of mother and daughter which are conveyed through their interpretation), the effects of the illocutionary act as the perlocutionary effects (arising anguish, pain, and confrontation of memories) which are all visually communicated by the characters' facial expressions.

6.6 Excerpt 2: The duologue, a verbal extension



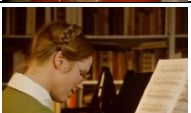
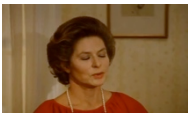







Following Eva's piano playing, mother and daughter embark on a duologue in which several expressive sequences communicate their assessment of the way each plays the piece.






As is evident in the transcription of utterances, most of the mother's and daughter's accounts involve 'non-conventional indirectness' (Desilla, 2012:31) in which

the meaning should be inferred through implicature (Grice, 1975). According to Desilla (2012), implicatures are inferred based on ‘the cumulative effect of the complex interaction between a series of utterances, on the one hand, and a set of salient non-linguistic cinematic [visual] signifiers, on the other’ (p. 42). Table 6.3 also shows how the uptake of the intended illocutions is facilitated by the accompanying visuals.

Table 6-3. The duologue, a verbal extension

Turn	Character	Sequence	Possible illocution	Visual/Grab
1	Ch	Eva, my dearest.	Endearment Expressive	
2	E	Is that all you have to say?	Asking Question/Directive	
3	Ch	No, no. I was just moved.	Disagreeing/Accounting Assertive/Constative	
4	E	Did you like it?	Asking for opinion Question/Directive	
5	Ch	I like <i>you</i> .	Evading Assertive/Constative	
6	E	I don't know what you mean!	Asking for clarification Question/Directive	
7	Ch	Won't you play one of the others? Now that we are all nice and <i>cozy</i> ?	Suggesting/Evading Suggestive/Constative Requestive/Directive	
8	E	I want to know what I did wrong.	Insisting Request/Directive	
9	Ch	You didn't do anything wrong.	Evading implicitly Assertive/Constative	
10	E	But you didn't care for the way I played this particular prelude!	Explicit blame	
11	Ch	Everyone must have his own interpretation.	Implicit evasion Generalization Assertive/Constative	
12	E	Yes, exactly. And now I want to know yours.	Explicit request (with a trim of order) Requestive/Directive	
13	Ch	What is the good of it?	Evading implicitly (referring to negative consequence of expressing her idea)	

			Disputative/Constative	
14	E	Because I'm <i>asking</i> you.	Explicit request Requestive/Directive	
15	Ch	You're cross already.	Evaluating explicitly Descriptive/Constative	
16	E	I'm upset because you evidently don't think it worth the trouble to tell me your idea of this prelude.	Informative/Constative	
17	Ch	All right, if you insist, (calmly) Let's disregard the purely technical side, which was not at all bad, although you might have taken a little more interest in Cortot's fingering-it helps with the interpretation. However, let's not bother about that, we'll just talk about the actual conception.	Withdrawing Retroactive/Constative Assentive/Constative Evaluating Descriptive/Constative Suggesting Suggestive/Constative	 
18	E	Well?	Asking for clarification question/directive	
19	Ch	Chopin isn't sentimental, Eva. He's very emotional but not mawkish. There's a huge gulf between feeling and sentimentality. The prelude you played tells of suppressed pain, not of reveries. You must be calm, clear, and harsh. The temperature is feverishly high, but the expression is manly and controlled. Take the first bars now. It hurts but I don't show it. (she continues to explain the technical points about playing).	Characterizing/attributing Discriptive/Constative Characterizing Descriptive/Constative Direct Informative/Constative	  
20	E	I see.	Admitting Concessive/constative	
21	Ch	(almost humbly) Don't be cross with me, Eva.	Assertive/Constative request	

22	E	Why should I be cross? On the contrary.	Disagreeing Dissentive/Constative	
23	Ch	For forty-five years of my life, I've worked at these terrible preludes. They still contain a lot of secrets, things I don't understand. But I won't give up.	Recount (Account for her skilful performance) Informative/Constative	
24	E	When I was little I admired you enormously. Then I was pretty tired of you and your pianos for several years. Now I think I'm beginning to admire you again, though in a different way.	Confessing Concessive/Constative Implicit?? assessment (positive) Evaluating Descriptive/Constative	
25	Ch	(sarcastically) Then there is some hope.	Expressing hope Acknowledgement /Expressive	
26	E	(gravely) Yes, I suppose so.	Admitting Concessive/Constative	

As Charlotte's turns in the above excerpt (ES 5, 7, 9, 11, 13, 15) show, she prefers not to comment on Eva's performance. Her act of *evasion* is not expressed explicitly, but through a chain of other SAs (*accounting, suggesting, assessing and generalizing*) whose use reveals her intention to avoid giving Eva a straight answer.

We can see from ES1 that Charlotte's first (and only) reaction after hearing Eva's performance is the *endearment* locution (*Eva, my dearest*). The close-up shot of her face (her expressive look is a mixture of condescension, anguish) shows how she feels as she utters the endearment locution. However, Charlotte's endearment is an unpleasant surprise for Eva as she expects to hear her mother's *assessment* or *evaluation* concerning what she has just played. She tries to elicit Charlotte's response by asking (*is that all you want to say?*); a question which bears the illocutionary force of the request 'tell me your idea', resentment appears on her face clarifies the intention of her question (ES 2). In the next sequence (ES 4), Eva explicitly asks whether she liked it or not (*did you like it?*), where Charlotte gives an irrelevant and dispreferred response to her question (*I like you*), through which she breaks the maxim of relevance. Having seen that Eva gets crossed at her irrelevant response, she tries to restore her face and tries to shift the topic by suggesting she play another piece (*won't you play one of the others? Now that we are all nice and cosy?*) (ES 7). Eva realizes that Charlotte is trying

to *evade*, and this time she *insists* her (*I want to know what I did wrong*). Again, Charlotte *evades* her request by uttering her locution in an informative form (*you didn't do anything wrong*); however, Eva interprets this as her mother trying to opt out of bothering herself by commenting on her performance. She *blames* her mother explicitly for the fact that she does not seem to care for the piece she has just played (*But you didn't care for the way I played this particular prelude*) (ES 10). Charlotte does not contradict her, instead, she responds with a *generalization* (*everyone must have his own interpretation*) (ES 11). Charlotte's generalization counts as a *dispreferred* response as it seems reasonable to assume that a preferred response to an act of *blame* would be a *contradiction* (Bednarek, 2010:168). However, Charlotte's *generalization* is followed by Eva's *confirmation* (*yes, exactly*) and immediately by her explicit *request* (*and now I want to know yours*) (ES 12). According to Toolan (1998), a *request* is often followed and completed by 'OK+action / NO+action', however, once more, in another dispreferred turn, Charlotte brings up a question (*what is it good for?*) (ES 13), through which she implicitly tries to provide a ground for her *evasion* of giving an explanation. This time, Eva explicitly and directly *asks* her by mentioning the locution of the *request* (*because I'm asking you*) (ES 14). Again, evading giving a straight reply to Eva's request, Charlotte *assesses* or *evaluates* Eva's reaction (*you are cross already*) (ES 15), which is followed by Eva's *account* for her resentful behavior (*I'm upset because you evidently don't think it worth the trouble to tell me your idea of this prelude*) (ES 16). In this turn, Eva explicitly refers to her resentment and *criticizes* her mother for her intentional refusal to comment on her performance. In fact, her locution bears the force of *criticizing* with a trimming of implicit *request*, considering the fact that for seven successive turns she makes her request in different ways, all of which convey the same illocutionary force. This time, Charlotte gives a preferred response (*all right, if you insist*) (ES 17).

As she embarks on *explaining* and *assessing*, the visuals show both characters in a medium shot, in which Charlotte is folding down the music stand, implying that as a professional pianist, she does not need the note sheet. This act positions them in an unequal place and *enhances* the *directive* illocutionary force of Charlotte's utterances. She embarks on an explanation of the concept of the prelude; meanwhile, she *directs* Eva on how to be more expressive to convey the composer's emotions which are interwoven into the piece (ES 18). In ES 19, Charlotte's mastery of the meaning of the prelude implies a great perspicacity and understanding. She explicitly *assesses* Eva's

performance as she turns to her and addresses her directly while saying (*the prelude you played tells of suppressed pain, not of reveries*). She speaks the line with a hint of condescension and *addresses* Eva as a pupil rather than as her daughter. Her explicit use of *directives* (*you must be calm, clear, and harsh*) reinforces her tone of superiority. As Charlotte speaks, Eva, motionless and mesmerized, listens to her mother, as if she is amazed at her capacity for understanding music so deeply. Here, the visuals enhance the *directive* force of her assessment and provide information on how Charlotte directs Eva. Eva's explicit recoil is clearly visible in her body language, as she turns her ring around her finger implying her embarrassment. Like ES 23, when Charlotte gives account for her competent performance, Eva's head is slightly bent down as she still plays with her fingers. Charlotte's gloomy expression is implied visually when Eva *confesses* how, as a child, she was feeling about her mother and her career. Charlotte's optimistic remark is reinforced by the visuals as she kisses Eva in ES 25, in a sense that without which the illocutionary force of her utterance (*then there is some hope*) could be uptaken sarcastically (ES 25).

6.7 The overall impression

The analysis of the characters' sequences of SA and their illocutionary forces, which explicates their intentions, and the perlocutionary effects, as their emotional reactions, demonstrate that the mother and daughter are more strongly associated with a kind of expressivity in terms of the illocutionary forces of the SAs on which they draw. The expressivity of their SA sequences is classified into three categories of illocutionary forces, proposed by Harnish and Bach (1979): *expressive*, *constative*, and *directive*. The frequency of each illocution is summarized in Table 6.4.

Table 6-4. Classification of characters' illocutions in the piano duologue scene

Category of illocutions	Eva	Charlotte
Expressive	0	2
Directives	7	1
Constatives	6	14

As Table 6.4 shows, Eva exhibits more instances of *directives* (*question* and *requestive*) than Charlotte (7 vs. 1). *Directives*, as Harnish and Bach (1979) point out, express the speaker's attitude toward some prospective action by the hearer and the

intention that their utterance, or the attitude it expresses, be taken as a reason for the hearer's action. As the analysis of their illocutions demonstrates, Eva frequently draws on *directive*, especially when she insistently asks Charlotte's opinion concerning the way she plays. Drawing on *directives*, and specifically *question* and *requestive*, contributes to representing Eva as more other-oriented and under-confident: she desires to be valued and recognized by her mother. Such characteristics, when accompanied by the film's multimodal aspects, particularly her paralinguistic aspects, such as her voice, and outfit (discussed in 6.2) communicate a sense of hesitation and insecurity. Furthermore, Eva displays more instances of expressing her emotions, particularly her resentment (ES 10, 12, 14), in comparison to her mother, who seems reticent in showing her emotions. Eva's expression of affect is also disclosed by her facial expression, which makes her more emotionally involved than Charlotte in this sequence. Indeed, her varying facial expressions when Charlotte is playing the piece verifies this claim.

On the other hand, Charlotte exhibits more instances of *constatives* (*assertive, descriptive, informative and suggestive*) than Eva (14 vs. 6). According to Harnish and Bach (1979), *constatives* express a speaker's belief, intention and desire that the hearer have (or form) a like belief. In fact, Charlotte's types of *constative* SAs are consistent with her social role as a prominent pianist; she displays teacher-like behavior, even though she may not have any intention to do so (e.g. her assertive and teacher-like tone when she directs Eva how to play the piece, or when she folds down the music stand before she starts playing). By using *constatives*, Charlotte also appears more confident and assured. Her confidence and power are also enhanced by her self-assured facial expressions, her confident performance and her bold red outfit. Although at certain points, she expresses her emotions, she instantly pulls herself together and returns to her usual assertive disposition.

6.8 Summary

By analyzing the opening sequence and also two different parts of the same sequence in the middle of *Autumn Sonata* (Ingmar Bergman, 1978), this chapter showed how SAs, performed by various modalities, contribute to create and develop the main characters (Eva and Charlotte). The SA analysis in this chapter included the narrator level, as the film involves a VI or character-narrator, who provides viewers with their initial impression of the main character (Eva).

The multimodal analysis of the three excerpts of this film shows how the characters are created by means of dynamic interaction between their pragmalinguistic behaviours (SAs), paralinguistic acts (gestures and facial expressions) and the cinematic techniques (*mise-en-scène*, camera work, costume, and music) in a situated context. It was also argued that SAS contribute to viewer's understanding non-prototypical SAs, such as those carried out non-linguistically, and via music. The analysis also discussed that characters are constructed as the result of their tendency to draw on specific illocutionary forces: Charlotte's ego-centric, self-absorbed characteristics and Eva's other-oriented, under-confident and impulsive behaviours are consistent with the types of SAs and the illocutionary forces the characters draw on.

7. Analysis (3): *Ten* (2002)

7.1 Introduction

Chapter 2 discussed the cognitive processes involved in film comprehension and Specifically character construal, the process through which viewers plausibly comprehend a film and form impressions about the characters by drawing on their prior knowledge stored as different types of schemas. Drawing loosely on theories and approaches from social cognition (Lingle et al., 1984; Hamilton and Sherman, 1994; Fiske and Neuberg, 1990), constructivist film theories (Bordwell, 1985) and linguistics, particularly SAT (Austin, 1962; Searle, 1969), a cognitive model for comprehension of film character was proposed in which the comprehension of cinematic character involves three planes: social schema (social categories and stereotypes), film schema (the knowledge of film style, narrative and genre), and pragmalinguistic schema (the knowledge of language and language in context, among which the research's focus is on SA with a schematic approach). This aforementioned cognitive model was applied to two art films, *The Piano Teacher* (2001) (Chapter 5) and *The Autumn Sonata* (1978) (Chapter 6), whose narrative, characterization and cinematic style deviate from the conventions of mainstream cinema. As the third and final analysis of the current project, this chapter applies the proposed cognitive model to *Ten* (2002), an art film by Iranian filmmaker Abbas Kiarostami.

Kiarostami's cinema has developed an *auteur*-inspired style drawn from neorealist stylistic and thematic practices (such as using non-professional actors, deploying out-of-studio locations, dealing with everyday life issues and so on) which results in the recognizable and distinctive aesthetic structure of his films. Although Kiarostami is loyal to the conventions of the neorealist tradition, he deviates from it and tries to customize neorealist heritage to create a specifically novel narrative and experiments with the documentary/fiction hybrid (the aesthetic, formal and stylistic aspects of Kiarostami's work are further discussed in detail in Appendix 5).

A typical characteristic of an art film is that its narratives tend to favour novel – or less conventional – structures which viewers often have trouble identifying. Such narratives seem to cross the usual storytelling modes of mainstream Hollywood film whose fundamental narratives feature linear (narrative) trajectories and causality (see

Appendix 1). As pointed out in 4.2.3, *Ten* is an exercise in *serial* narrative revolving around 10 episodes in a serial fashion. The film involves the main narrative (the story of Mania and Amin as the two protagonists) which is illustrated in a series of four car trips. The reason for considering the episodes featuring Mania and her son as the narrative is that they constitute a complicating event as the essential and qualifying condition of a narrative (see also 2.7.1). Temporally, the episodes which show Amin and Mania take up the bulk of the films' running time (4 episodes out of 10). Mania and Amin's episodes wander off in an unexpected, random direction and link all the other episodes which are ill-formed in terms of narrative structure as none of them involves a complicating action. The other episodes are bound together by the permanent presence of Mania, which obliges viewers to consider different episodes as a whole and as 'the story of Mania'.

In terms of narrative comprehension, *Ten* is challenging because viewers are presented with the difficulty of constructing a coherent story from the disjointed episodes as they watch the film. *Ten*'s episodic structure in which the narrative is rendered in 10 separate segments demands that viewers are more active, as, according to King (2005:97):

[the audience needs to] backtrack, to revisit material, to identify repetitions and points of difference, to establish a very different dynamic, a structure akin to a spiral in which the ramifications of nuances are explored rather than a linear narrative that offers a single movement towards resolution.

The film's mode of narrative does not allow viewers to form a mental representation of the states of affairs portrayed based on their prototypical narrative schema. In other words, the film's episodic structure prevents viewers from intuitively filling the slots of their narrative schema.¹ *Ten*'s episodic narrative structure affects the

¹ There are other examples of art films whose narratives are rendered in episodic fashion. Michael Haneke's *Code Unknown* (2000), for instance, with its fragmented structure, composed of cross-sectional events which establish different self-enclosed but interwoven sub-narratives. The sub-narratives are framed at the beginning and the end of the film with a pair of matched scenes in which the deaf children mime words to each other, foregrounding the theme of (mis)communication and alienation. The stories of four characters, to whom we are introduced in the first scene, overlap and run parallel over the course of the film; however, they are not arranged in any fixed pattern or order which allows the spectator to arrive at a definite interpretation. Angela Schalenec's *Orly* (2004) is another example of a film which features an episodic narrative. The story revolves around three different sub-narratives, all taking place at the same time in *Orly* airport, Paris. In the first narrative, Juliette, frustrated by her own absent-mindedness, starts a conversation with Vincent, both are French living abroad and one has decided to return. In the second narrative, a mother and son wait to board a flight to go to her ex-husband's (his father) funeral. In

way that characters are presented and hence, influences viewers' character impression formation. In fact, the structure of the narrative in the context of character presentation and development can affect the way viewers understand them, as in an episodic structure, characters' (social and personal) attributes are revealed and evolve at different stages (episodes) of the narrative. The viewer needs to track the main characters in four irregular episodes interrupted by another six episodes in order to form an overall impression of them.

Having outlined the introductory notes, the structure of this chapter is as follows: section 7.2 deals with the general visual aspects of the film, particularly its use of digital video (DV) as the most important cinematic and stylistic aspect which allows an autonomy in narrating and character creation which is not motivated by the director's decisions.

Section 7.3 describes the narrative structure of *Ten* and argues how the episodes featuring Mania and Amin develop a narrative in terms of the essential components of narrative schema. It also discusses the plausible cognitive process through which viewers assemble different parts of the narrative together and comprehend the episodic narrative involving Mania and Amin in terms of Branigan's (1992) narrative schema.

Section 7.4 discusses the levels of SA in three categories: the audiovisual *inviting* act of the director (7.4.1), the cameras' indirect act of *describing* and *narrating*, which explains how the camera works implicitly and explicitly create the characters by showing them directly and by depicting the context/setting in which they appear indirectly (7.4.2) and the characters' SAs (7.4.3). Section 7.5 deals with the first impressions that viewers make in terms of the initial SA exchanges between mother and son in the opening scenes. Section 7.6 analyzes two parts of episode 10 in order to show how Mania and Amin's dominant SAs with various illocutionary forces characterize them in the course of their duologues. Section 7.7 discusses the structure of Mania and Amin's conversation. Here, particular aspects of Mania and Amin's conversational structure based on the suggested checklist for character creation (see 2.3.1) which considers aspects such as turn distribution, disruptions and topic control as implicit cues

the third narrative, a young couple on holiday surreptitiously snap each other's photos. In both *Code unknown* and *Orly*, the stories or episodes of different characters or couples run in parallel. However, the striking difference between the episodic structure of *Ten* with other episodic-narrative films mentioned with is that in *Ten*, the episodes constitute micro-narratives evolving around one main character (Mania). Although each episode can be considered almost self-sufficient and separate from the others, they are thematically related as they are connected through Mania's presence.

of characterization are further discussed to demonstrate how the impression which has formed about characters based on their use of SAs is further enhanced and verified by aspects of their conversational contributions such as turn taking, interruptions and topic control as implicit/indirect character cues. As discussed in 4.2.3, the rationale is that Mania and Amin's power struggle and their attempt to grab the power from each other is also disclosed in the structure of their conversation. The linguistic exchanges between the main characters in *The Piano Teacher* and *Autumn Sonata* do not show such a power struggle revealed in conversational aspects such as topic change and systematic disruptions. However, in *Ten*, as will be discussed in detail, such conversational aspects are of high importance as they reveal a critical power struggle which is rather marked with respect to the character's differing social roles.

Section 7.9 explains how viewer's impression of characters is plausibly formed in terms of the continuum of the impression formation model (2.6.1) and based on the SA and conversation structure analysis. Finally, the most notable points of analysis in are revisited and summarized in 7.9.

7.2 Assessing *Ten*'s cinematic/visual aspects

With regard to the second aim of the current project – the functions of *Ten*'s multimodal elements in character creation – the use of DV camera is the film's defining cinematic/stylistic feature. Among its many functions, the DV shots portray the characters, as well as the context in which they are set. Argy (2005) argues that the attraction of DV for most filmmakers lies in its lower upfront production costs; however, in the last few years, DV has matured into a format that offers aesthetic options and means for technical innovation. Kiarostami (2004) discusses the increased power of the *auteur*, who with a camera-pen, like a writer or sculptor, can create a movie alone as an individual artistic vision. The digital camera, just like a pen, allows the *auteur* to make (visual) notes of whatever they want and give rise to an intimate and spontaneous interaction with real environments, facilitating a close collaboration between filmmaker and environment.¹ DV allows the *auteur* to exercise their own

¹ This is consistent with Kiarostami's filmmaking style in terms of elimination of artificiality and remaining faithful to natural performance, as in front of DV camera people/actors feel comfortable (see Appendix 5).

subjective point of view; however, in *Ten* it seems to create a ‘camera autonomy’ in the absence of the *auteur*. In *Ten*, Kiarostami, as he himself points out in *Ten on Ten* (a film about how he made *Ten*) is outside the moving location (Mania’s car) and guides the actors from outside (Kiarostami, 2004). The camera’s autonomy is utilized by two fixed cameras mounted in front of Mania’s car. Thus, the ten conversation scenes are captured from the viewpoint of these cameras. So, although the camera moves about in the streets of Tehran, the movements of the car and its surrounding traffic control what the camera captures and the *mise-en-scène* are largely unplanned. In fact, the camera’s independence opens up new opportunities for *mise-en-scène* by minimizing the subjective directorship of the *auteur*. The camera’s autonomy plays an essential role in character creation and presentation. As will be discussed in 7.6, the camera shows the contextual/setting elements in an uncontrived fashion in the absence of the director. Although the initial set of conditions is created by the director himself, the camera is then allowed to capture what happens in front of it. As the car is moving through the streets of Tehran, the main setting of the film, the cameras not only capture the characters’ physical attributes and their verbal interactions, but they also depict the exterior space of the streets, people and other cars and thereby depict the characters’ physical and social context. As the context/setting in which characters appear has a characterizing value, such depiction can be considered as an implicit method of character creation and presentation in terms of the toolkit suggested in 2.3.1. Thus, having discussed *Ten*’s general cinematic style which is motivated primarily by the intention to capture indirect character presentation, the next section deals with the viewer’s narrative structure and comprehension of the film.

7.3 Film narrative: description and comprehension

This section deals with the first aim of the present study (1.3), concerning the role of different schemas, including film schema (particularly narrative schema) and how the non-prototypical and deviant narrative structure of the film is unfolded and plausibly comprehended by viewers in terms of their narrative schema and its components.

In terms of narrative structure, *Ten* resists simple description. On a closer analysis, the film can be precisely situated in relation to narrative film via Woolen’s

(1982) notion of ‘counter-cinema’ as an ideological and/or aesthetic critique of mainstream cinema, where ‘[the counter-cinema’s] function is to struggle against the fantasies, ideologies and aesthetic devices of one cinema with its own antagonistic fantasies, ideologies and aesthetic devices’ (p. 91). In counter-cinema, the filmmaker maintains the ‘signified’ of narrative cinema, i.e. words and stories (ibid., p. 96); however, the narrative proceeds via ‘gaps and interruptions, episodic construction, [and] undigested digression’ (ibid., p. 80). Accordingly, *Ten* can be described as a collection of ten episodic conversations (Woolen’s ‘words and stories’ (1982)) which provides it with a semi-experimental status in terms of its narration and disengagement with ‘narrative transitivity’ (Bordwell, 1985). In fact, as an art film, *Ten*’s narrative lacks the ‘transitivity’ of conventional narrative (widely recognized in classical Hollywood films) defined as linear narrative causality (see 2.7.1).

Mania and Amin’s narrative is illustrated across four episodes: Mania is an intellectual; the divorced mother of a teenage boy, Amin. Having lived with his mother for seven years, Amin has decided to leave her and live with his father. At first, Mania resists as she is very close to her son, but then she starts meeting and talking to random people who have all experienced leaving someone or being left. Her encounters with these people are captured in episodes 2, 4, 6, 7, 8, 9. Meeting with these people she picks up in her car has a therapeutic effect on her; she starts considering her predicament from different angles. At the end of the film, Amin leaves his mother and Mania accepts the reality of his absence.

The six episodes which comprise Mania’s dialogues with different people, including her sister, a prostitute, a religious woman and a friend, wander off in unexpected, random directions. The episodes are introduced, respectively, by the numbers ten to one, using countdown figures on the film leader; each number is accompanied by a ‘whirling sound evocative of a film projector, followed by a ring of a bell like that heard at the start or end of a round in boxing or wrestling’ (Andrew, 2005:39). This audio-visual sign serves as a diegetic visual indicator which informs viewers of the beginning and end of each episode.

The narrative structure of *Ten* is diagrammed below to demonstrate the position of each episode in relation to the main narrative. The episodic structure of *Ten* demonstrates a complicated pattern: it is not one of a perfect circle, as Caputo (2003) describes, nor the ‘linear’ one, in which ‘the narrative offers a single movement towards resolution’ (King, 2005:97); rather, it seems to be random cuts of the protagonist’s

adventures with her son.¹ The diagram also shows how *Ten* works in respect to the compositional principle of repetition.

Diagram 7-1. The narrative structure of *Ten*



¹ Caputo (2003) claims that episodes 10 and 1 give the film its symmetry; at the end of 10 the audience is right back where they started. The circle closes, yet another is about to open.

As Diagram 7.1 shows, the episodes featuring Mania and Amin – with which the film starts and ends – are marked in blue. Four episodes of the ten are devoted to Mania and Amin’s narrative (episodes 10, 5, 3, 1). The grey blocks show Mania’s one-off encounters with random people (her sister, a prostitute, a religious woman and a friend) and the red blocks are her conversations with a young woman who has been cheated on by her ex-boyfriend.

The only episodes which involve a complicating action and hence constitute a canonical narrative are Mania and Amin’s. Their narrative is narrated in four episodes, so there is sufficient time for it to be established and developed. Its episodic nature allows the narrative’s episodes to be cut and resumed in an irregular fashion. As the central character of the narrative, Mania is the only one who appears in all episodes, and in each, she plays an active role by initiating and managing the entire linguistic exchange. Such an active role is thematically and visually reinforced: in all 10 chapters she drives the car which is the film’s only location. Even when Mania is off-screen – for instance in the first sequence where she is not seen in the frame and her voice is just heard – her presence is felt through an ‘averted gaze’ (Mottahede, 2008) in which she is placed out of shot as the camera wanders and leaves viewers knowing the character is there despite not seeing her. The fact that she is the one who always drives the car throughout the film implies that it’s Mania’s story, and she is the one who is *driving* the story forward.

The narrative components of Mania and Amin’s story are again discussed in terms of Branigan’s (1992) model of narrative schema as a mental model comprising an abstraction of narrative structure which embodies typical expectations about how viewers classify events. As discussed in 4.2.3, Mania and Amin’s narrative adopts an experimental approach and is structured in four episodes interrupted randomly by others, however, as it involves the fundamental component of ‘complicating action’, it is still qualified as narrative. However, the narrative lacks some of the components of set out by Branigan’s (1992) model. For example, it does not involve a clear and recognizable abstract as a compact summary of the film’s situation as *Ten* starts immediately with the orientation as a description of the present state of affairs. Here, I discuss Mania and Amin’s narrative in episodes 10, 5, 3, & 1, respectively, which is the most plausible way that viewers would arrange the components to develop a comprehensible narrative in terms of Branigan’s (1992) narrative schema.

Orientation: our first encounter is with Amin and Mania's voices which takes place in episode 10. Their initial exchange orients us by giving a description of the present situation (place-time-characters): it is mid-day, the characters, a mother and her teenage son, are in a moving car driving through the streets of Tehran. In the course of their conversation, we are *exposed*¹ to the information about their past, whose consequences are the main challenges of their present relationship: Amin's parents are divorced, and Amin, who is furious at this, accuses and blames his mother.

Initiating event: as an event which warns viewers about the current situation, the 'initiating event' of the narrative is realized in mother and son's argument about the divorce. Amin is furious at their divorce and accuses his mother of instigating it.

Goal: Mania's emotional response to Amin's accusation is realized in her attempts to convince Amin that as a woman and a mother, she is not a piece of property belonging to her ex-husband but a free and independent person (Episode 10).

Complicating event: at the end of episode 10, Amin expresses his hate for Morteza, his stepfather, and decides to leave his mother and start a new life with his father. The tension between them is enhanced by Amin's decision which causes a conflict between the mother and son. Mania is emotionally dependent on her son and does not want to let him leave. The tension between mother and son due to Amin's decision to leave presented in episode 10 is further extended in episodes 5 and 3 and arrives at a resolution in episode 1.

Resolution: episode 1 is the only episode in which the verbal argument between mother and son subsides and that a relative stability/resolution has been reached, as Mania says 'all right' in response to Amin's wish to be taken to his grandma's house. Thus, by employing such an ending, it can be claimed that the narrative displays an 'open image' which, as a defining feature of art film's ending or closing scenes, tries not to close down the narrative but rather opens it up to the viewer's consideration to 'live on' after the film itself has finished (Chaudhuri and Finn, 2003:44). Open image can deploy any of the elements of shot, frame and scene, and may include sound components (Chaudhuri and Finn, 2003:38). Accordingly, episode 10 can hardly be considered to be a clear-cut ending/resolution. At the end of the film, many questions remain unanswered: do the mother and son find a way to compromise? What will Mania

¹ Branigan (1992) makes a distinction between 'orientation' and 'exposition', while the former refers to the description of the present state of affairs (place, time and character), the latter points to information about past events which bear on the present (p.18).

do? Will she convince Amin to accept her new partner? However, Mania's final line, 'all right', as a positive response, implies a relative resolution, which according to the art film genre can be considered as a tentative resolution.

7.4 Levels of SA in the film's narrative

In terms of the scope and levels of SA analysis, three levels can be realized in the *Ten*'s discourse:

7.4.1 The filmmaker's creating/inviting act

Ten's narrative is assumed to be understood as the author's/filmmaker's act of *creation* and *invitation* (to imagine the film's fictional world). The first credit shot with the classic *inviting* act of 'Abbas Kiarostami presents' appears on the screen, followed by an immediate cut to a number 10 appearing on the film leader and accompanied by a whirring sound and then a ringing bell allows the director to *inform* us that the film is presented in episodes arranged in reverse order. The presence of the director is implied at the beginning of each episode, in which – like at the beginning of the film – it is as if he is announcing the beginning of a new chapter.

7.4.2 The camera's narrating act

The role of the camera is highlighted in the physical absence of the director. In *Ten on Ten* (2004), the director explains that he was outside the moving location (Mania's car) throughout the shooting and he directed the actors from outside (Kiarostami, 2004) while two steady DVs mounted in the front of the car were capturing the scenes. In *Ten*, the cameras' acts are generally realized by: the intentional/deliberate/motivated act of character *filtration* (see 3.5.4.2), which *shows, depicts, characterizes, describes and identifies* Mania and the other characters as well as their attributes, and the unplanned act of *describing* the context and the setting. The cameras are fixed to a stable place in the car and serve to *show* and *characterize* each character (Mania, as the driver, and the other people getting into her car) as it moves through the streets. Hence, the cameras are set to capture what they should capture, for instance, the characters on which they are focused. At the same time, the moving setting (Mania's car) allows the cameras to capture many unintended contextual elements. In

other words, the cameras not only *filter* the characters through *showing, depicting, capturing and characterizing* them and their conversations, they also provide information about the setting/context (the streets of Tehran) in which they appear, and hence, they unintentionally and implicitly *describe* the setting. For example, in the second episode (Mania and her sister) as Mania is driving, the camera captures the exterior space of the car, in which two seemingly religious women (wearing *burqua*) are accidentally seen through the car window frame. *Depicting* these two women in the same frame with Mania implies a contrast between them and Mania's existence, and so provides an *identifying* function for Mania to characterize her as a free and non-traditional woman who is tired of social and religious obligations and limitations. In fact, by employing such a visual juxtaposition, the camera implicitly and indirectly contributes to the creation of Mania's character. According to the suggested toolkit for characterization (2.3.1), which holds that the setting/context where characters appear implicitly present them and indirectly contributes to their creation, it can be claimed that here by highlighting the contrast between the women, the camera's acts create character and character presentation.

In comparison to camera's acts in *The Piano Teacher* (5.4.2) and *Autumn Sonata* (6.2, and in excerpt analyses 6.5 and 6.6), in which the camera acts are motivated by the directors' decisions – they are deliberately targeted at *showing/depicting* the context and *identifying/describing* characters or *emphasizing/de-emphasizing* their attributes – in *Ten* the camera's autonomous acts of *showing/depicting/describing* the contextual and setting elements, as well as characters, are not motivated by the director's prior decisions and/or intentions. The unintentional act of context (*describing/depicting*) is facilitated by using the DV cameras. The acts of the cameras, including *describing/identifying/showing* etc., are also related to the second aim of the current study concerning the functions of multimodal elements of film. Camera, as a narrating agent, not only describes the characters, but it also describes/shows their context – as an important characterizing element in the film. In fact, the antonymous function of the camerawork in *Ten* is one of the film's most notable features – as mentioned above.

7.4.3 The characters' SAs

This section – and the subsequent analysis of the excerpts – are related to the first aim of the current study: how viewers infer characters' attributes based on their

SAs and by means of their SASs. This analysis of *Ten's* character SAs involves two excerpts from the opening sequence (episode 10). The first excerpt is taken from the first moments of the film, in which the two characters are introduced and viewers' initial impressions are formed based on their schemas. This scene portrays the challenging interpersonal relationship of mother and son via their SA exchanges and Amin's visual/physical qualities. The other analytical value of the opening scene is the mechanism of the film's camerawork: Mania, as the main character is not seen until minute 16 and, until then, she is only perceived through Amin's averted gaze, her voice, her duologue with Amin disclosed in the SAs she exchanges with her son and also Amin's facial and physical reactions to Mania's lines. In fact, this scene gives an insight into how cinematic character is created and construed through camerawork as a cinematic device and how character's company and their paralinguistic and pragmalinguistic behaviour, particularly SAs, contribute to viewer's understanding and impression formation about the unseen character.

The second excerpt is chosen from the middle of the opening sequence (Episode 10), in which the tension between the mother and son reaches a peak. This excerpt involves the narrative components of initiating event (the event which warns viewers about the current situation), and goal (Mania's emotional response to Amin's accusation) (see 5.3). In fact, the determining information about Mania and Amin's narrative in the form of their duologue and SA exchanges are given in this part. In addition, along with the characters' SAs, the conversational aspects of the mother and son's duologue – as implicit cues of characterization, such as turn distributions, interruptions and topic change – reveal an implicit power struggle through which Mania and Amin's attributes are disclosed (see the suggested toolkit for characterization in 2.3.1).

Similarly to the SA analysis of *The Piano Teacher* and *Autumn Sonata* in Chapters 5 and 6, respectively, here, the characters' duologues are transcribed by the pertinent visual/grab and the SAs of their turns are analysed in terms of the plausible types of illocutionary force. Based on the types of SA and the illocutionary forces on which the characters tend to draw upon, and the visual aspects of the grabs, particularly Amin's body language and facial expressions and Mania's voice, the diagnostic/marked characteristics of Mania and Amin can be inferred. Moreover, the SA analysis of both excerpts demonstrates a SA pattern through which the development of characters can be traced.


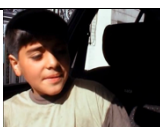

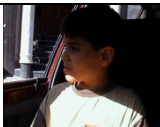


7.5 Excerpt 1: the initial impression


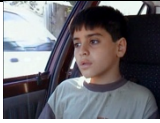



Viewer's initial impressions are formed in terms of Amin's visually prominent physical features as he gets into the car: he is a chubby teenager around 12 years old, presumably from a middle-class family which can be inferred from his clothes and the car Mania drives. His facial expressions portray him as grouchy and spoiled (Grabs 1 & 2). Here, understanding Amin's character is necessary to form an impression of Mania. This is because we do not see her until 16 minutes after the opening sequence; until then, viewers only hear her voice and feel her presence through Amin's gaze. In this sequence, she is characterized only by the quality of her voice – her young, feminine voice functions as an indicator by which the audience can estimate her age to be around 30 – and her SA exchanges with Amin and his facial and physical reactions to her. In other words, in addition to their duologue, it is through Amin's portrayal of his physical reactions to her – including his body language, eye vectors and facial expressions – that viewers are able to perceive Mania's character when she is off-screen.

Although no words indicating their kinship are exchanged, we infer that they are mother and son based on the intimate style of their conversation. Amin's facial expressions and his body language (easy, relaxed and laid-back) imply that Mania's car is a familiar place for him and the driver is someone with whom he feels comfortable (Table 7.1, Grabs 1 & 2). The quality of Amin's occasional 'vectors', which connect him (as the actor) with the not-yet-seen Mania (as the goal) (Kress and van Leeuwen, 1996) reinforces the sense of his familiarity with the setting place and his interlocutor (Table 7.1, Grabs 1, 2 & 10). In addition to the visual properties of the scenes, particularly Amin's paralinguistic behaviour, the characters' SAs and their contrastive illocutionary forces disclose specific attributes of their characters and their interpersonal relationship.

Table 7-1. Excerpt 1: the first impressions

ES	Ch	Sequence	SA	Visual/Grab	Possible illocution
1	M	Lower the window. Let some air in.	Ordering Ordering		Requirement/directive Requirement/directive

					
2	A	[eh] (nagging while trying to lower the window)	Nagging		Dissentive/constative
3	M	I will buy you an ice-cream if you want.	Offering		Offer/commissive
4	A	We are late, get going.	Disagreeing Ordering		Dissentive/constative Requirement/directive
5	M	Nima said that the match starts at 9:45. It's only 9:20.	Informing Informing		Informative?/constative Informative/constative
6	A	Nima isn't coming?	Inquiring		Question/directive
7	M	Nima? I don't know if he's coming. He has a slight cold. But your stepfather Morteza said he might bring him to the pool after breakfast. Are you ok?	Informing Informing Asking		Informative/constative Informative/constative Question/directive

8	A	Yes.	Replying		Assertive/constative
9	M	Today we have time. I can buy you an ice-cream. Hurray...	Affirming Offering		Assertive/constative Offer/commissive
10	A	(badgering while looking angrily at his mother) Sorry, but it takes half an hour to get to the pool from here. I have to be there by 9:45.	Disagreeing Rejecting		Dissentive/constative Dissentive/constative
11	M	What's new?	Asking		Question/directive
12	A	I'm okay.	Replying		Assertive/constative

At the beginning of their exchange, as Amin complainingly gets into the car, Mania clearly intends to treat him in a friendly way. Having drawn on the *commissive* of *offering* to buy an ice-cream (ES 3, 9), Mania tries to express her good intentions towards him (ES 3, 10). According to Harnish and Bach's (1979) SAS of *offering*, in uttering an *offer*, S *offers* A (act) to H if S expresses: i. the belief that S' utterance obliges him/her to A on condition that H indicates s/he wants S to A, ii. the intention to A on condition that H indicates s/he wants S to A, and iii. The intention that H believes that S's utterance obligates S to A and S intends to A, on condition that H indicates s/he wants S to A (p. 51). In two different ESs (3 & 10) Mania *offers* Amin to buy him an ice-cream as they have enough time, provided that Amin wants one. However, Amin *disagrees* and *rejects* Mania's offer. In uttering the *dissentive* SA – *disagree* and *reject*

– S *dissents* from the claim that P (proposition) if S expresses the disbelief that P, contrary to what was claimed by H (or what otherwise under discussion) (Harnish and Bach, 1979:43). Amin *rejects* what Mania *offers* and shows his disbelief of her assertion about having enough time (ES 9) by *order* (ES4) and direct *rejection* (ES 10), whose illocutionary force is intensified by his badgering and nagging tone and furious look (Grab 10). The impression given here – that Mania is trying to get closer to Amin and she behaves like a doting mother – is also reinforced when she asks him how he is (ES 7, 11), which can be taken as her intention to open up a friendly discussion. Amin's weary and uninterested reply, marked by his bored tone and defiant facial expression, characterizes him as a moody teenager who is reluctant to communicate (Grabs 8 & 12).

As Table 7.2 shows, both Mania and Amin show more instances of SAs with *constative* illocutionary force, such as *disputative*, *informative*, *dissentive*, *responsive*, and *assertive* as an expression of their belief and intention that the hearer will form an alike belief (Harnish and Bach, 1979:42), in comparison to other SAs of *directives* or *commissives*. In other words, the dominant illocutionary force of the characters' SAs in these scenes is *constative*.

Table 7-2. The type and frequency of the characters' illocutionary forces

IF of SAs	Mania	Amin
Constative	5	6
Directive	4	2
Commissive	2	0
Total	11	8

Both characters make similar instances of *constative* utterances in terms of frequency, however, they draw on dissimilar SAs with *constative* illocutionary force, including *dissentive*, *informative* and *assertive* which present a contrast in their use of illocutionary force. Table 7.3 outlines the frequency and types of *constative* illocutionary forces Mania and Amin draw upon.

Table 7-3. The type and frequency of characters' *constative* IF

Types of constative IF	Mania	Amin
Dissentive	0	4
Informative	4	0
Assertive	1	2


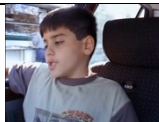

Total	5	6
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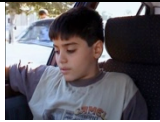




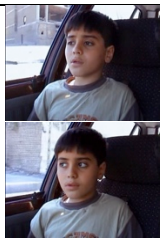
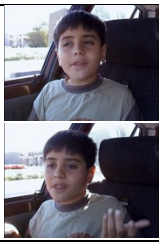
As the table above demonstrates, Mania makes more use of *informatives* through which she tries to *inform* Amin about the questions he asks. For instance, in ES 6, Amin asks Mania whether Nima is joining him in the pool or not. Mania patiently tries to *inform* him about Nima's decision (ES 5, 7). Although Mania is not seen, her good intention to reply to him patiently is indicated by her calm tone of voice and her offer of an ice-cream. In contrast, Amin furiously draws on *dissentives*, particularly *disagreeing* and *rejecting* as dispreferred reply in response to Mania's *offers* by making the excuse that they are late (ES 2, 4, 10).




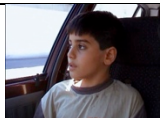



7.6 Excerpt 2: a quarrelsome situation






The marked exchange in Mania and Amin's characterization takes place as Mania starts telling Amin the story of her friend's call, following which they embark on a verbal quarrel in which they accuse each other of a lack of understanding. The following excerpt which starts at 2:01 is highly telling as through their SA exchanges and their use of *constative* and *directive* illocutionary forces, the characters' intentions and dispositions are revealed. In addition, the structure of their conversation in terms of turn-taking, topic change and disruptions exposes a pattern of power struggle, which will be discussed in 7.7.




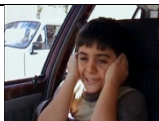


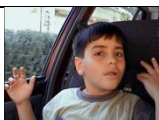
Table 7-4. The second excerpt: a quarrelsome situation





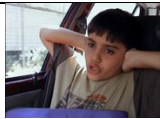




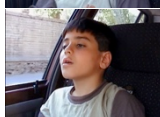




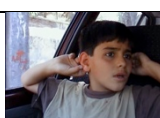
ES	Ch	Sequence	SA	Visual/Grab	Possible illocution
1	M	A Friend called me last night...	Informing		Informative/constative
2	A	Who?	Questioning		Question/directive
3	M	You don't know her. She called me...	Answering		responsive/constative






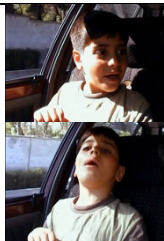
					
4	A	[What do I care whether she calls you or not? (slightly irritated)	Disputing		Disputative/constative
5	M	I'm talking to you. Let me finish. When I talk, you raise [your voice...	Ordering Disputing		Requirement/directive Disputative/constative
6	A	[So what?	Retorting		Requirement/directive
7	M	(raising her voice) It's impolite. Let me finish and you'll understand	Advising Advising		Advisory?/directive Advisory/directive
8	A	I don't want to hear what she told you.	Objecting		Disputative/constative
9	M	Too bad. You listen to everyone. But you refuse to listen to your own mother.	Rebuking		Advisory/directive
10	A	Because you're going to lecture me again. You always have to talk.	Disputing		Disputative/constative

					
11	M	I lecture you?	Objecting		Disputative/constative
12	A	Yes. You keep telling me 'when you're big, you'll be like this..., you'll do like this, you'll do like that.'	Disputing		Disputative/constative
13	M	Think what you like.	Disputing		Retractive/constative
14	A	You'll tell me you have a friend that her mother divorced. I know all that.	Disputing		Disputative/constative
15	M	No, on the contrary. She was telling me why her parents never divorced and have always lived in the shit with [loads of problems!	Disagreeing		Dissentive/constative
16	A	[I know, I know you'd to say that. You mean it's good that you divorced dad. That he was the one in the wrong. Say what you like my mom. I don't believe it. I	Objecting Rejecting		Disputative/constative Dissentive/constative

		don't believe it.			
17	M	<p>Don't believe it then.</p> <p>You only talk to fight, like those children full of hate.</p> <p>I didn't get married again just to give you another father.</p> <p>He is a good companion for me, a friend, but you won't look at him or compare.</p> <p>What could I do [with your father?</p>	<p>Disputing</p> <p>Accusing</p> <p>Informing</p> <p>Informing</p>		<p>Disputative/constative</p> <p>Disputative/constative</p> <p>Informative/constative</p> <p>Informative/constative</p>
18	A	[she is starting again! (shouting)]	Disputing		Disputative/constative
19	M	How [dare you?	Warning		Advisory/directive
20	A	<p>[not so loud yourself.</p> <p>You started it: 'I have a friend...'</p>	<p>Commanding</p> <p>Accusing</p>		<p>Requirement/directive</p> <p>Disputative/constative</p>

21	M	[you didn't let [me speak. (shouting)	Disputing		Disputative/constative
22	A	[you start again. You start again. You see, [mum.	Disputing		Disputative/constative
23	M	[you see, Amin, if we lived to 100, we'd still argue (Amin covering his ears with his hands) unless you listen to me and [start thinking.	Disputing Advising		Disputative/constative Advisory/directive
24	A	[I start thinking	Warning		Advisory/directive
25	M	[you must have your own experience to understand life. You're like your father. He shut me away, destroyed me. He wanted me [only for himself.	Admonishing Attributing Accusing		Advisory/directive Ascriptive/constative Disputative/constative
26	A	[not so loud or I won't listen [to you	Commanding		Requirement/directive
27	M	[I'll say what I have to say	Disputing		Disputative/constative

28	A	I don't want [to listen.	Dissenting		Dissentive/constative
29	M	[Plug your ears, then!	Ordering	  	Requirment/directive
30	A	She is starting [again	Disputating Complaining		Disputative/constative Disputative/constative
31	M	[good for you! (Amin starts mumbling and shouting nonsense). You're obstinate. You are full of rage. You want revenge. You are angry like that because you refuse reality. You want me to feel guilty. You want me to pity you	Disputing Attributing/insulting Accusing accusing	        	Disputative/constative Ascriptive/constative disputative/constative disputative/constative
32	A	I want [what?	Disputing		Disputative/constative

33	M	[you want me to pity you	Disputing		Disputative/constative
34	A	(again covering his ears) I can't [hear	Dissenting		Dissentive/constative
35	M	[you can't hear? Yes, you can. You want me to feel guilty. It won't work	Disputing Accusing		Disputative/constative Disputative/constative
36	A	(Starts crying) as soon as I get in the car, she starts again. Give it a rest! I want some peace and [quiet now	Complaining Ordering		Disputative/constative Requirement/directive
37	M	[you refuse to listen	Disputing		Disputative/constative
38	A	I don't want to listen, I don't have to	Warning		Advisory/directive

The general assessment of the characters' ES in terms of the SAs they tend to draw on demonstrates a pattern with a high frequency of *constatives* and *directives*. The dominant use of *constatives* and *directives* imply an argumentative context, in which the characters either try to make the other party accept their words or tries to make the other to behave as they may wish. The frequency of both characters' *constative* and *directive*

illocutionary forces is outlined respectively in Tables 7.5 and 7.6 in terms of Harnish and Bach's (1979) taxonomy of the illocutionary forces (Appendix 7).

Table 7-5. The general illocutionary forces of characters' SAs

IF of SAs	Mania	Amin
Constative	23	15
Directive	8	7
Total	31	22

Although such general categories of character's SAs can portray the general context of the argument, the types of illocutionary forces used reveal the characters' argumentative dispositions in detail.

Table 7-6. Types of characters' *constatives*

Types of IF/constative	Mania	Amin
Disputative	15	11
Informative	3	0
Dissentive	1	3
Other	4	1
Total	23	15

Both Mania and Amin frequently argue to make the other party accept his/her words by drawing on different types of SAs with *constative* illocutionary force – most notably *disputing*, *informing*, *objecting* and *dissenting*.

As Table 7.6 shows, Mania employs more instances of *disputatives* than Amin (15 vs. 11). Mania and Amin's *disputative* ESs can be discussed in terms of Harnish and Bach's (1979) schematic specification to investigate the mechanism of their *disputative* SAs. According to Harnish and Bach (ibid.) in uttering *disputatives*, S *disputes* the claim that P if S expresses: i. the *belief* that there is a reason not to believe that P, contrary to what was claimed by hearer (or was otherwise under discussion), and ii. the *intention* that H believes that there is reason not to believe that P. In ES 16, Amin expresses his disbelief in his mother based on the fact that he finds her biased and judgmental as she blames his father for the divorce. In other words, in Amin's view, because Mania believes that it was a good decision to divorce his father, whom she recognizes was wrong for her, based on the fact that Amin takes his father's side (ES

16), he has sufficient reason not to believe his mother.

Similarly to excerpt 1, here Mania shows more instances of *informatives* by which she tries to explain the situation and convince Amin to realize how she feels and explain the circumstances surrounding the divorce (ES 1, 17). She attempts to show willing to communicate in order to establish a friendly rapport with her son. However, when Mania realizes that Amin denies and rejects her (ES 4, 6, 7, 18), she goes into a rage (ES 19). In fact, Mania only shows affection when Amin accepts her words.

In addition to *constatives*, the two characters tend to draw on SAs with *directive* illocutionary force, such as *commanding* and *advising*, which express the speakers' attitude towards some prospective action by the hearer, and also the speakers' intention that their utterance (or the attitude it expresses) be taken as a reason for the hearer to act (Harnish and Bach, 1979:48). Like in the first excerpt, Mania uses more instances of *directives* than Amin (8 vs. 7). And, by using different types of *directives*, such as *question*, *requirement* and *advisory*, both Mania and Amin try to make the other act and/or think in the way they wish. Moreover, they take their words as reasons for the other party to act.

Table 7-7. Types of characters' *directives*

Types of IF/directive	Mania	Amin
Question	0	1
Requirement	2	4
Advisory	6	2
Total	8	7

Amin persistently refuses to listen to his mother as he believes that she has started repeating the same old stories to convince him to believe her words (ES 8), which he obviously is reluctant to hear. On the other hand, Mania believes that Amin has to listen to her so that he can understand her decision to divorce (ES 7, 9). Mania draws on *directives*; she *orders* Amin to listen to her (ES 5) and *advises* him (ES 7) which, in response, Amin *objects* to (ES 8). Mania's chain of *disputatives* and *advisories* ranging from *ordering*, *advising*, *disagreeing* and *accusing* causes the argument to intensify. Amin's response is illustrated in his direct use of *disputing*, *rejecting* and *objecting* (ES 8, 10, 12, 14, 16). Amin's reluctance and rejection and

Mania's insistence – which serve to characterize both Mania and Amin as competitors who are locked in a power struggle – create a disputative quarrelsome atmosphere in the car.

Mania also exercises her power over Amin in order to try to make him think in the way she wishes through using *directives* – and particularly *advisories*. Through *advisories*, such as *warning*, *advising* and *rebuking*, Mania believes that she has sufficient reasons to admonish Amin. For instance, she believes that Amin must listen to her and believe her words (ES 7) because he usually listens to everyone (ES 9); she takes this as evidence to *advise* and *rebuke* him. When Mania notices Amin's reluctance to listen to her (ES 8, 10, 12, 16), their quarrel reaches a peak and she *accuses* him of treating her like his father by *attributing* his father's characteristics to him (ES 25). Mania's *accusing* and *rebuking* SAs are the perlocutionary effect of Amin's reluctance and rejection which he paralinguistically shows by covering his ears in order to avoid hearing her words.

Mania's types of *directives*, particularly *requirements* (*ordering* and *commanding*), *advisories* (*warning*, *admonishing* and *advising*) and *constatives* particularly *disputing*, *accusing*, and *informing* are consistent with her social and personal characteristics as an intellectual young woman who tries to free herself of society's traditional conventions and live on her own terms, which goes against the patriarchal ideas of which Amin is a representative. By using *constatives*, Mania appears confident and powerful. This impression is also enhanced by her self-assured voice (she utters her lines slowly with an additional emphasis on particular content words).

On the other hand, Amin's dominant use of *disputatives*, particularly *dissentives* (see Table 7.6.) and *directives*, particularly *requirement* (*commanding*) (see Table 7.7) portrays him as a dissenting, defiant and rebellious teenager. Such characteristics are also evident in (and are reinforced by) his uneasy body language (he moves all the time) and facial expressions (frowning and scowling) and his nagging, mumbling voice, all of which also characterise him as a spoiled, defiant and pestering and badgering teenager.

The following section deals with the structure of Mania and Amin's conversation and argues how viewers' impressions of Mania – her power and confidence – and Amin's spoiled nature, defiance and insurgence, which are formed based on their use SAs in excerpt 1 and 2 are further reinforced and verified by particular aspects of their conversational structure.

7.7 The representation of a power struggle in character's conversational structure

In addition to the characters' SAs, the conversational structure of Mania and Amin's exchange, especially in the second excerpt, creates the impression of a pattern of a power struggle between mother and son. As discussed in the suggested toolkit for character creation/representation (2.3.1), aspects of conversation such as frequency of turns, length of turns, the total volume of characters' talk, turn allocations and topic control implicitly characterize and reveal characters (see also Culpeper, 2001:172-73). Like characters' SAs and their illocutionary forces, the conversational features are schematically associated with the influence and relative distribution of power between characters, and hence, can be linked to different aspects of their characteristics (Ng, 1990:276, in Culpeper, 2001). For instance, our schematic knowledge of conversation tends to suggest that interlocutors who interrupt others more frequently are presumably trying to exercise more power in a conversation. In the second excerpt (Table 7.4), Mania and Amin display numerous instances of interruption (ES 3, 4; 5, 6; 15, 16; 21, 22, 23, 24 and 25). They also introduce different and sometimes irrelevant topics and shift from one topic to another. In so doing, they break the maxim of 'relevance', which states that the speaker's contribution should be relevant to the purpose of the exchange (Grice, 1975; also see 3.2). In other words, there is a lack of cooperation in their exchanges and the responses are mostly dispreferred as they often fail to reply pertinently (see Table 7.4, ES 24, 25 and 35, 36). For instance, in ES 4, Amin suddenly tries to change the topic by showing his absolute reluctance to listen to Mania's story. His reluctance is also inferred in other turns (ES 28 & 30) in response to Mania's insistence to pull the conversation back to the topic she had already opened. Here the recurrence of dispreferred responses is a marked and foregrounded element which reveals the mother's and son's resistance to listen to each other. The fact that even with several attempts, ranging from the indirect strategy of telling a story to direct accusation, Mania does not succeed to elicit a preferred reply from Amin negotiates their struggle for power, by which each one tries to dominate the other one. In conversation, observing the speaker who tends to initiate the conversation sequences and who responds can suggest who may be dominant (see Culpeper 2001). By inserting

the story of a friends' parents' divorce and trying to relate it to their own situation, Mania tries to initiate a conversation about a topic she wishes to discuss. She also attempts to encourage Amin to listen to her and cooperate in the conversation through her use of hedging and the pauses she makes at the end of her initial turns (ES 1, 3). Although Amin seems curious (ES 2), he seems intent on expressing an unwillingness to listen in order to undermine Mania's implicit position of power as his parent who has initiated the discussion (ES 4).

The power struggle between Mania and Amin is also implied in the transition between their turns and the way in which they alternate turns. They hardly assign turns to each other through typical patterns of 'turn allocation': a system through which interlocutors manage the transfer of speakership, such as pausing or hedging (Ford, 2013). In contrast, they persistently challenge each other to grab the floor throughout the dialogue by interrupting each other. Amin shows more instances of systematic interruptions than Mania. For instance, when he notices that Mania has started telling a story in order to convince him that his situation as a child of divorced parents is much better than children who live with both parents in a hell-like situation, he interrupts her immediately by covering his ears and shouting (ES 18, 34). Later on, the same pattern is repeated in ES 30 and 31 as Amin starts mumbling nonsense in order to show his unwillingness to listen to his mother. Generally, when Amin feels that Mania starts talking about her divorce and judging his father, he becomes angry and tries to take the floor by preventing Mania from finishing her sentences – indeed, such systematic disruptions take place several times in the course of their conversation. From Amin's utterance referring to his mother in the third person (*she is starting again*) (ES 20, 22) we infer that this topic of discussion (persuading Amin that her decision to divorce was right) is rather exhausting for him. Such an impression is also reinforced by Amin's facial expressions and his angry tone of voice throughout the excerpt (ES 20, 22). In fact, it is obvious that this is a topic which makes Amin impatient and enraged. The impression that Amin blames her mother's decision to divorce, and recognizes her as the guilty party and hence shows support for his father is reinforced in both Amin's (ES16) and Mania's words (ES 31, 33, 35). Mania accuses Amin's father (her ex-husband) of not understanding her, shutting her away and destroying her. By attributing such negative characteristics to his father, Mania also attributes them to Amin (ES 25). This is doubly offensive for Amin: not only does she accuse his father – whom he evidently loves and supports – for destroying her life, but she also accuses Amin of

doing the same: 'you are just like your father' (ES 25).

In fact, although Amin tries to skip Mania's contribution and stop her from continuing discussing such an undesirable topic, Mania attempts to elicit a relevant and desirable response by reformulating her utterance (ES 15), but again, Amin infers Mania's intention (ES 10, 16). This pattern of 'skip-connecting', in which 'an interlocutor tries to leave out a topic while the other one is set to carry on the same topic' (Culpeper, 2001:178), with Amin's attempt to evade Mania's contribution and her persistence in continuing is evident in ES 21, 22 and 25. Mania's behaviour can be interpreted in terms of the augmenting principle which asserts that 'if one does something in spite of reasons for not doing it, the effect can be to strengthen an attribution' (ibid., p. 180). In fact, although Mania notices that this topic bothers Amin and he obviously resists listening to her talking about the divorce, she persists in restating it during the conversation. Such an insistent pattern shows her struggle to place herself in a more powerful position; she acts like a mother who tries to be friendly with her son, provided that he buys her interpretation of reality. On the other hand, Amin's obstinacy – indicated linguistically (his frequent interruptions) and also paralinguistically (through his body language such as covering his ears in order not to hear Mania and shouting) – characterises him as a spoiled, obstinate teenager with whom it seems difficult to talk (ES 23). In fact, the impression of a mother, who is trying to impose her power over her son to make him accept her version of events regarding the divorce, and her spoiled son, who is obviously very stubborn, is revealed through the characters' SAs (Tables 7.1 & 7.4) and here, this analysis of their conversation structure reinforces the impressions.

In our discussion about the character's power struggle evident in the structure of their conversation, we should also take into account the interlocutors' social roles. The distribution of power between them is determined by their social and institutional roles (see Thomas, 1995; Culpeper, 2001). In fact, this type of power, or what Spencer-Oatey (1997) calls 'legitimate power' afforded to individuals on the strength of their social and institutional roles is exercised when 'one person has the right to prescribe or request certain things by virtue of role, age or status' (in Thomas, 1992). Schematically, in a parental (e.g. mother and son) relationship the balance of power tends to be predominantly on the parents' side as they hold such legitimate power as the primary caregiver(s). Here, according to the context of the conversation under examination, in which the parents are divorced with a teenage son, the stereotypical/schematic pattern of

legitimate power practiced in this mother and son relationship is not observed, rather, obvious patterns of dominance such as frequent interruptions, grabbing the floor and consistent topic changes occur throughout their conversation. This is because in such circumstances, an inequality of power results from factors other than social roles, such as personality and the quality of the characters' interpersonal relationship. In the case of Mania and Amin, the fact that she has divorced his father causes obvious upset for him: he is in his sensitive teenage years; rebellious, spoiled and impatient, and she is an artist and unwilling to suffer in her unhappy marital situation despite the culturally imposed restrictions on divorce as evident in her words (for example ES 25), thus, the characters' behaviour cannot be interpreted in terms of their typical social roles. In such a situation, Mania's behaviour can be explored on two planes:

1. Her maternal affection for Amin; she feels an attachment to him in terms of a typical mother and son relationship. The fact that she tries to establish a friendly rapport with Amin is evident in her verbal behaviour, such as her offer to buy him an ice-cream (Table 7.1, ES 3 & 10).

2. The traditional reliance in which she, as a woman, wishes to be accepted by her child. Such reliance is also underpinned by the fact that because Amin is male, he is endowed with masculinity. By trying to justify her decision to divorce and attempting to encourage Amin to support her position, the viewer can understand that she is seeking some kind of confirmation from masculine society (of which Amin is a representative), who in turn tries to exercise his dominance and masculine power over her. Amin tries to ignore his mother's words by not listening to her (Table 7.4, ES 28), interrupting her (ES 22), shouting (ES 18) and covering his ears (turn 34) and also expressing his disbelief in her (ES16), which shows his attempts to wield power over her.

7.8 Developing viewer's impressions of the characters

This section deals with the present study's first aim concerning how model viewer's cognitive processes plausibly relate to character impression formation, and the functions of their social schema in this process. In terms of the continuum of impression formation (2.6.1), the viewers' category-based impression is primarily formed in the course of Mania and Amin's exchange in the first excerpt. In the opening scenes, when Mania is off-screen, her voice, as an auditory indicator, and Amin's body language in

relation to Mania, and the SAs they employ cue viewers to form their initial impressions about both characters. In fact, character comprehension at the beginning of their duologue in excerpt 1 is mostly based on top-down processing, which results in a category-based impression: by seeing/hearing them at the beginning of the film and hearing their initial exchange, the primary categories give rise to the stereotypical schemas viewers would associate with a mother and her teenage son's interpersonal relationship.

The types of characters' SAs and their illocutionary forces is also revealing: the characters' frequent use of *constatives*, particularly *disputatives*, and *directives*, such as *commanding*, *ordering* and *advising* establish a quarrelsome context in which both parties try to dominate the other. This power struggle is also evident in the conversational structure between the mother and son, particularly their frequent interruptions, switching topics, giving dispreferred replies and their lack of cooperation. Such linguistic aspects are audio-visually enhanced by the character's tone of voice and Amin's body language. Accordingly, as the conversation goes on, in excerpt 2, viewer's comprehension tends towards a bottom-up (or data-driven) process, in which the personal and individual attributes of the target characters are invoked to form more individualistic impressions of them. Mania's use of *directive* SAs such as *accusation* and *command* portray her as a confident individual who gently tries to impose her power over Amin, and, at the same time, attempts to maintain her friendly relationship with him by trying to convince him logically. On the other hand, Amin's frequent use of *disputatives* and especially *dissentives* portrays him as a defiant teenager, with whom it is difficult to communicate. The character's pragmalinguistic behaviour, including their SAs and the structure of their conversation, together with their visual qualities, lead to recategorization and piecemeal integration on the part of the viewers. This is because, at this stage, viewers can no longer perceive Mania as a typical mother in strictly Islamic Iran. More complicated characteristics are revealed in terms of Mania's interaction with Amin and also her linguistic behaviour, which invoke a more person-based impression: an intellectual artistic individual (which can be inferred from her appearance and her conversation with her sister and her son, where she refers to her paintings), who tries to follow her way of life against the traditional caveats of Iranian society for women, and also the mother of a rebellious, spoiled and difficult son, with whom she tries to establish a friendly relationship. Amin's character is a little simpler, as, from the first extract, he is presented as a difficult teenager and these characteristics are reconfirmed

in the second extract (2.7.2).

7.9 Summary

As the last analysis of this project, this chapter dealt with *Ten* in respect to the suggested model for character impression formation (2.1) and the toolkit for cinematic character creation (2.3.1). Having discussed the contribution of cinematic and visual aspects on the characterization of the protagonists, Mania and her son, Amin, the narrative structure and its components were addressed, and its non-conventional and deviant structure – comprised of ten fragmented episodes connected through the presence of the main character, Mania – was analysed. The plausible narrative comprehension trajectory viewers would follow in terms of their narrative schema was also dealt with. This chapter also argued that the episodic structure of the film's narrative would affect the process of viewer's characters' impression formation, as in *Ten*, the characters (Mania and Amin) are evolved in different episodes/chapters. In fact, the present study's narrative analysis of *Ten* showed how viewers' character impression is dependent on the structure of the narrative in which they emerge.

The researcher is well aware that the analysis of these limited excerpts can hardly give a comprehensive and coherent account of viewers' impression of the characters. In fact, an all-around, encompassing impression is developed in the course of the film and through viewer's different encounters with Amin and Mania, and, if more time and space were available, the analysis should consider all the episodes featuring the mother and son. This supports the present study's claim that impression formation of characters is a dynamic and cumulative process, which extends from the beginning of the film to its end. This is particularly true about Mania (as the protagonist) whose character is developed throughout the film's different episodes, and not just in the episodes with her son. Through a pragmalinguistic analysis of the characters' dialogue and by taking into account the film's multimodal aspects – including visual and cinematic devices, particularly characters' paralinguistic behaviour, such as their gaze, as well as camera works and effects – the chapter argued how viewers would plausibly form impressions of the characters in *Ten*.

By analyzing the two characters' SAs, a pattern of illocutionary forces was revealed, which is marked by their challenging interpersonal relationship and their struggle for power. The chapter discussed how the characters' power struggle is

demonstrated (and can be inferred) in specific aspects of their conversation, such as turn distribution and frequent interruption.

In terms of the overall impression viewers make about characters, the chapter discussed how the characters' pragmalinguistic behaviour, including their SAs and the structure of their conversation, together with audiovisual properties, bring about viewer's primary, category-based, bottom-up impressions in the opening scene, and then, how such first impressions are recategorized and by piecemeal integration in the later stages, as their verbal quarrel continues.

8. Conclusion

The primary assumption of the present study holds that although fictional characters are the product of a text, the cognitive process by which they are comprehended by film viewers is, to some extent, similar to that used to understand real-life people. On the one hand, characters are human beings in a literal sense of the word, they are partly modelled on the reader's conception of people and in this they are indeed person-like. On the other hand, characters are fictional, in a sense that they are the product of film text and filmmakers' imagination. As discussed in 2.6.1, because of the schematic association between dramatic roles and types of categories assigned to real-people (i.e. social, personal and group membership), the process through which both are comprehended has many parallels. This means that in understanding film characters, viewers apply similar social and pragmalinguistic cognitive mechanisms to those employed to understand and interpret people in everyday life. In comparison to viewer's impression formation of fictional characters, the cognitive process by which they gain an understanding of film characters is even more similar to that used with real-life people, as they are presented visually and viewers can see and hear them on the screen rather than imagining them. In addition, film reflects an imitation of reality (Berliner, 1999, see 1.5.3). The fabricated reality of film is created through its multimodal elements and medium-specific devices, including cinematic techniques (cinematic conventions such as aspects of *mise-en-scène*, camerawork etc.). In fact, film's 'code of realism' (Bednarek, 2010; Kozloff, 2000; Berliner, 1999) allows for 'a tight anchoring of viewers' identification with the characters' (Kozloff, 2000:99) and motivates them to perceive the characters presented as real people. Taking into account film's multimodal devices, a toolkit for cinematic character creation was proposed which emphasises the role of cinematic devices in characterization.

With regard to the real – and at the same time fictional – nature of film characters, and also taking into account the medium-specific devices by which characters are created and developed, the present study proposes a cognitive model to explain the cognitive processes employed in how viewer's form impressions of cinematic characters. Following the present project's aims (investigating the plausible cognitive process of character impression formation, exploring the multimodal context

of film, and investigating the role of different schemas in the cognitive process), the suggested model draws loosely on various theories from a range of disciplines, modifies them and brings them into the cognitive stylistics context to investigate how viewers plausibly form impressions about characters: Fiske and Taylor's (1991) social cognitive model, Bordwell's (1985) cognitivist film theory, and Austin's (1962) pragmatic theory of SA. The overarching concept of schema binds the three main types of knowledge required for character construal: social, film and pragmalinguistic. This model assumes that the cognitive processes by which viewers form character impressions of film characters involves the activation and application of three types of schemas: social schema, film schema and pragmalinguistic schema.

Social schema application entails two stages: categorization and schema application. In the first stage, the viewer attempts to allocate characters to their plausible social categories (i.e. social roles, personal, group membership). The more stereotypical the characters are, the more they are fit into such predetermined social categories. The categorization phase is followed in the case that a 'round' character means viewers cannot meaningfully slot them neatly into accepted social schemas or stereotypes. Such complex characters who exhibit more individuating characteristics in terms of deviating from the expected social schemas or stereotypes that viewers expect, are then subject to piecemeal integration, in which, as the most individualizing stage of impression formation, a character's unanticipated or startling attributes are added up by viewers in a bottom-up order to form their overall impression.

In addition to the social knowledge plane, a viewer's prior knowledge also involves the knowledge of film style and techniques (including narrative, generic and cinematic conventions). Comprehension of film and film characters is contingent on having knowledge of film mechanism and cinematic conventions developing as a result of their prior encounters with screened performances. Such accumulated knowledge provides the all-encompassing schemas of narrative, genre, film stylistic devices – as well as the operational protocols which are conceptualized as procedural schemas – which contribute to viewers' comprehension when the other schemas are inadequate in making sense of the narrative.

Viewer's knowledge of language and linguistic communication (i.e. how language is used in social contexts and interactions) is another important source of film comprehension in the suggested cognitive model. This project focuses on characters' SAs and discusses how the characters are created and developed by their SAs and how

the linguistic knowledge of SAs – conceptualized as SAS – contribute to viewers' understanding of different types of SAs performed by characters. In other words, the pragmalinguistic plane of this study investigates the individual properties of characters' SAs, the social dynamics of their interactions and how they cue viewers to make particular impressions about characters. Having addressed the problems of classic SAT (Austin, 1962; Searle, 1969) and in line with this study's cognitive framework, SAs have been envisaged as cognitive schemas which allow us to consider the various different variations in the perlocutionary force(s) which can be attributed to similar-sounding SAs. Thus, by using this schematic approach, SAs are treated more flexibly, in the sense that they are not only produced verbally but also paralinguistically or audiovisually and by means of cinematic devices and techniques. This means that in film, SAs can not only be produced and performed in non-verbal ways but also by means of characters' body language, facial expression(s) and aspects of *mis-en-scene*, such as music and cinematography and camerawork and effects. This formulation is also consistent with the project's second aim which investigates how film, as a multimodal medium, creates meaning through an ensemble of semiotics including verbal and visual resources.

The present study's cognitive model, as well as the suggested toolkit for character creation, were applied to the selected art films as the dataset. This included excerpts from three art films: *The Piano Teacher* (2001), *Autumn Sonata* (1978) and *Ten* (2002). As discussed in 4.2, the research focus was on art film, as the films of this genre usually deviate from the conventions of mainstream cinema in terms of characterization, narrative, generic and cinematic technique and style. By exploring the boundaries of narrative plot, in which the interpersonal relationships of characters are explored, art film narratives tend to avoid dependence on causal relations. Art film narrative tends to be non-classical in that it constantly creates narrative gaps and indefiniteness, which calls for the viewer to actively pay attention to the process of story construction. As opposed to mainstream film narrative, where the plot tends towards certainty through following a canonical narrative structure, art film is based on relativity and uncertainty. Its non-conventionality in its use of narrative, genre and cinematic devices which is accompanied by highly elaborated cinematography (such as 'optical point-of-view shots, modulations of light, sound, and color, freeze-frames, slow motion and other cinematic devices) as well as characterization makes art film a complicated text in terms of comprehension. In art film, viewers' comprehension is hampered by the

continuous schematic disruptions and disjointed cognitive trajectory. This narrative, stylistic, character and generic deviation significantly affect the cognitive process viewers use to comprehend such films because due to the continuous schematic disruptions, they can no longer easily draw on their established schemas to understand the film's elements. The selected art films in this project all share this use of deviation from the norms of conventional mainstream cinema, however, they exhibit these deviations in different ways and on various levels. In other words, although the films chosen as the dataset belong to the tradition of art house cinema and involve the common generic characteristics of art film, each of them highlights specific, marked characteristics of art film such as non-conventional narrative, hard-to-categorise and multi-dimensional characters and unusual use of cinematic device (the generic characteristics of art film is discussed in Appendix 1) in different ways. The film directors use different techniques (in terms of characterization, style and narrative) to tell the story and create characters, and the cognitive process of character impression formation is guided by the filmmakers' narrative, stylistic and technical choices.

In *The Piano Teacher*, featuring Erika, the sexually masochistic protagonist, her personality is gradually revealed through her encounters with other characters. This film exploits shocking deviations from the stereotypical schema that viewers are likely to hold about a middle-aged, classical pianist. Erika's paradoxical characteristics are exposed and developed via means of her interpersonal relationship with her mother and lover, as well as the contexts and spaces in which she appears (characters' company and context/setting are both described as characterization tools in the suggested toolkit for character creation in 2.3.1). The reliance and emphasis on the company Erika keeps (her mother and in particular, her lover) with whom she has the most encounters, reveals her paradoxical nature, as both her mother and Walter are shown in direct contrast to Erika's personality. For example, as discussed in 5.6, Erika's unusual, sexually deviant commands are in a direct opposition to Walter's warm behaviour towards her, which indicates his love for Erika, and generally how viewers plausibly perceive Walter, as a decent young man. In addition to Erika's deviant behaviour, the contexts in which she appears, contributes to her characterization. For example, as discussed in 5.7, seeing a conservatively dressed female pianist browsing in a sex shop and sniffing used tissues in a porn booth is in direct contrast to the typical settings and activities which we would expect of a woman of her standing. The viewer's impressions about her character are further reinforced by filmmaker's stylistic choices.

The aspects of *mise-en-scène*, particularly the setting, costume and make-up, play an important role in characterization in Haneke's film: The closed, claustrophobic, pallid settings in which she mostly appears, her outfit, pale face and tightly wound bun all contribute to characterize her deviant attributes. The toilet scene discussed in the second excerpt (5.6) is a good example in which character contrast (the contrast between Erika and Walter) is achieved by means of setting and color design and composition, as it exemplifies how the pallid white setting of the toilet, in which Erika is figuratively imprisoned, is in direct contrast with vivid red and crimson of the hall, into which Walter runs. As a result of such paradoxical characteristics disclosed by her SAs and characterizing illocutionary forces (see 5.5. and 5.6), which are further enhanced by specific multimodal elements and cinematic devices, Erika's character confounds viewer's expectations of what a classical female pianist would be like. Hence, from this point on, viewers form impressions about her through piecemeal integration, where once her character escapes the bounds of viewer's initial top-down, schema-based assessment of her, they are forced to reassess her in the light of her new, deviant behaviour.

Next, in *Autumn Sonata*, the characters' tormented interpersonal relationship, as the film's most prominent aspect, tears viewers from their stereotypical mother-and-daughter relationship schemas. A large part of the impressions of the characters' dysfunctional relationship is formed by the pieces they play for each other. Thus, the film's musical score, as an element of *mise-en-scène*, is used not only to set and intensify the film's emotional atmosphere but also employed as a means of character creation. The characters' pragmatolinguistic behaviour, particularly their SAs, are performed by the extra-linguistic, cinematic medium of music.

The director decides to use the characters' interpretation of a piece of classical music as an expressive device, whose meaning is further reinforced by their subsequent duologue. The piece functions as an SA (with SA specifications) which characters perform in relation to one another, by which their intentions, emotional dispositions and feelings are revealed (see 6.4.3). Using a music piece as a SAs can be considered to be an unusual device for character creation on the part of the director. The film also uses a homodiegetic character narrator to introduce Eva (the protagonist) and provide the primary information about her past, her personality, and the nature of her relationship with her mother as a child. Based on the VI narrator's direct description of Eva, the viewer's initial impressions about her, the mother and their tormented

relationship are formed. The editing of the opening scene, in which there are alternative cuts to Eva as she is writing while VI narrator describes her, also reinforces viewer's character impression formation (see 6.2.4). Like *The Piano Teacher*, the film's other aspects of *mise-en-scène*, such as setting, character costume and make-up contribute to characterization, as well as character contrast. Eva's childish outfit, a pale green dress, ponytail and big round glasses, together with her unconfident and anxious paralinguistic behaviour, are in direct contrast to her mother who is dressed in an elegant red dress, pearl necklace and exaggerated behaviour (for instance as she walks or when she talks on the phone), which visually foregrounds her confidence. As discussed in 6.4, in comparison with the other two films (*The Piano Teacher* and *Ten*), *Autumn Sonata's* narrative concludes with an epilogue concerning explicit character reactions to the film's resolution, which is not a usual ending for an art film (see Appendix 1 for further explanation on how art films usually conclude). In the film's epilogue, a rather different aspect of the characters is revealed, as Eva asks her mother to forgive her, despite the harsh argument they had and her mother's sudden departure. In fact, by employing an epilogue at the end of the film's narrative and using it as a means/context to develop the characters, the director deviates from art film's typical narrative structure of lacking decisive conclusions.

In *Ten*, its complicated narrative structure prevents viewers from following their canonical narrative schema to comprehend the plot in an ordered fashion. The narrative is developed throughout ten episodes – ten car trips – which are thematically and visually connected by the presence of Mania, the protagonist and driver. As discussed in detail in 7.3, the episodes featuring Mania and her son construct a narrative as they develop a complicating action, which is the main component of the narrative schema (Lambrou, 2007, see 2.7.1). The episodes without Mania and Amin are ill-formed as they lack complicating actions. The episodic structure of the narrative affects the way viewers perceive characters. The chapters of Mania and Amin, who present the only recognisable narrative in the film, are presented in unconnected, non-continuous episodes and thus, viewers are required to recall and revise the episodic character information they have already been presented with to form a gestalt impression of the two characters.

Ten's episodes are all shot in the closed space of Mania's car, so it seems that context, as a significant device of character creation, does not contribute to characterization. But the non-conventional use of DV cameras, which are mounted on

the dashboard of the mobile setting of Mania's car, unintentionally capture the streets and people against which the characters appear. Therefore, against the *The Piano Teacher* and *Autumn Sonata*, in which context and setting is meticulously controlled by the artistic director's decisions, and thus intentionally support character creation, in *Ten*, the context and setting are left to chance in the ebb and flow of Tehran's traffic and uncontrived street scenes: totally outside of any purposeful stylistic choices by the director. However, such unintentional *auteurial* visual devices do, in fact, contribute to character creation, as the camera captures the city's streets, shops and people, and the social setting in which the characters live (see 7.6 for further discussion on the narrating act of camera). Unlike *The Piano Teacher* and *Autumn Sonata*, in which the mis-en-scene aspects of characters' costume and make-up play an important role in character creation and character contrast, *Ten* does not heavily rely on these aspects; except for Mania's outfit which is instrumental in representing her as a modern woman living in a conservative Muslim country where it is mandatory for women to wear a hijab (head covering).

As *Ten* is filmed in its entirety in the enclosed space of Mania's car, it relies heavily on the strength of its dialogues to introduce the characters, develop them and show their interpersonal relations in comparison to *The Piano Teacher* and *Autumn Sonata*, in which characterization is equally aided by specific aspects of *mise-en-scène*, including setting design and music. The depth to *Ten's* characters (Mania and Amin) is created by means of their dialogues, particularly the SAs they tend to draw on, as well as the visual, multimodal and cinematic elements. In other words, viewer's impressions of the characters are chiefly created by their pragmalinguistic behaviour, their SAs and the conversational structure, which is notably marked by frequent disruptions and topic changes which explicitly describe a power struggle between the mother and son. However, it should be noted that the multimodal elements (including the paralinguistic behaviour and camerawork) contribute to viewer's inferences of the director's intended meaning of characters SAs. For example, for the opening 16 minutes of the film Mania is off-screen and her character is perceived only by means of her voice and Amin's paralinguistic reactions towards her (see 7.5).

Although the main concern of the current project is how the suggested cognitive model and the character creation toolkit can be successfully applied to art films, how 'round' characters are created and developed by means of non-conventional narratives and cinematic devices, and how viewers plausibly understand the characters

in art film, it can potentially be applied to examine the cognitive processes involved in other film genres such as melodrama, detective, horror, film noir etc., whose structures appear to be more conventional in terms of narrative, style and character development.

Although the present study has attempted to offer an objective, reasoned approach to examining how model viewer's construct meaning-making of characters according to their internal schemas, it suffers from some particular theoretical and methodological concerns and limitations detailed below, which, although they appear to be relevant, fall beyond the scope of this project (see 1.2 for explanation on the scope of the research):

First, in addition to the types of schema on which viewers may draw upon for character comprehension as in the project's suggested cognitive model (social, film and pragmalinguistic schemas) which have been considered and described as the primary source of knowledge in the comprehension process, viewers may also draw on other types of schema and/or subschema. These can be categorised as individual schemas or as parts of a broader schema. For instance, viewers may develop a schema about the body of films of a given filmmaker/director in terms of the recurrent themes, plots or stylistic devices, so that they read/watch them all under the rubric of his/her *oeuvre*. This is mostly true about the films of an *auteur*: a filmmaker/director whose individual style, control and mastery over all elements of film, including narrative, characterization, aspects of *mise-en-scène* and cinematography, reflect their personal creative vision. The consistency of an authorial signature across a range of films may constitute a schema which facilitates viewer's comprehension of such films, including the characters present. Such signatures may depend on factors such as recognizably recurring devices from one film to another, such as Haneke's visible (or invisible) presence of violence or the use of TV in interior spaces (see Appendix 2) or Bergman's performance theatre in a range of his films, such as *Smiles of a Summer Night* (1955), *Through the Glass Darkly* (1961), *Fanny and Alexander* (1982). In Kiarostami's films (see Appendix 5), the *auteur's* signature may also depend on the authorial persona, such as *Fellini films*, *Bergman films* or *Michael Haneke films*, *Bela Tarr films* or it might rely on using a particular genre of music as film score, such as Kubrick's use of classical music as the main theme of his films or Wong Kar Wai's use of famous pop songs in his films. Thus, a film's authorial trademark may influence viewers to view some films as fitting into a body of work which cues them to form a particular understanding of a given film. However, not all film viewers have such schemas: their

creation and development are contingent on having a good knowledge of film and filmmakers which create, establish and develop such schemas (*auteur* schema) which are heavily dependent on viewers' encounters to particular director's films. This notion of *auteur* schema can also be discussed in relation to the current project as the films analyzed are all directed by filmmakers who are considered *auteurs*. However, as this particular schema is as general as the other types of schema discussed in this research and only a small number of viewers (i.e. cinephiles or film scholars) are likely to be affected by such schemas, it was not dealt with in this study as the focus was on how viewers with an average level of film knowledge would plausibly form impressions of characters (also see 4.1).

Another type of schema/subschema on which viewers may develop particular expectations about film and its characters is their schematic assumptions about specific actors/actresses. This schema tends to be most potent when considering performers who have appeared in major roles in commercially successful films, and who are nationally or internationally recognized and celebrated. The creation and development of this type of schema may chiefly be related to the individual's 'stardom factor' which suggests to viewers a distinct film persona. A star establishes an identity across a range of film performances and in appearances in subsidiary forms of circulation – including newspapers, celebrity magazines, fanzines, web pages, and so on (see Kuhn and Westwell, 2012). Moreover, the similarities of the roles that a given actor/actress plays may also reinforce viewer's schematic assumptions about them. For instance, the Hong Kong-based actor, Jackie Chan, is mostly known for his acrobatic fighting roles in East Asian films. Through acting in recurrent and similar roles in films which share similar generic characteristics, he has established himself as a martial-arts-type actor. Viewers may develop schematic assumptions about his presence in different films, meaning that they may expect specific characteristics of the roles he plays, and hence develop a 'Jackie Chan' schema.

In terms of art films, the influence of a dominant star schema (as outlined above) is rather unlikely, as the roles in such films are mostly performed by non-actors. Some art films may make use of stars, as in the case of Bergman's *Autumn Sonata*, in which Ingrid Bergman played the leading role, however, stars who act in such films are usually established actors whose careers include a wide range of films across different genres. For instance, Ingrid Bergman has starred in a variety of European (as well as art films) and American (including Hollywood) films. In some cases, the films

analyzed in this project make use of well-known stars. The presence of Isabelle Huppert in Haneke's *The Piano Teacher* and Ingrid Bergman in Bergman's *Autumn Sonata* may trigger such schematic functions in particular viewers' minds; however, the possible effect of the schematic assumptions about such characters as stars is not considered in this research due to the range of roles they have played in different films across various genres. Future studies on schema-based comprehension of cinematic character may investigate how the prior schematic assumptions about *auteur*-made films or well-established actors/actresses may affect viewers' impression of the characters they play. In other words, future studies in this field may benefit from considering the effect of viewers' prior knowledge of actors and *auteur* filmmakers on how they comprehend film characters.

As discussed in 1.2, this study establishes itself in the cognitive stylistics field. Cognitive stylistics deals with the cognitive processes involved in reading/viewing and usually focus on a hypothesis drawn from cognitive science, and hence clears away the role of affect. This, following the theoretical framework and methodological concerns of cognitive stylistics, and in response to the current project's aims, the analysis provided in Chapters 5, 6 & 7 dealt with the general cognitive processes through which a model viewer plausibly engages in film in terms of character comprehension rather than the process of a real reader's/viewer's experience of a given film(s), of which personal affective feelings are an inseparable part.

Future research investigating how viewers cognitively process film in terms of forming impressions of characters would benefit from focusing on real-life viewers in order to investigate the role their affective feelings and emotions towards characters and their sociocultural backgrounds influence their comprehension of film and/or film characters. The present project's suggested cognitive model for impression formation (which is proposed as an analogue of a model viewer) may also be applied to a focus group of real viewers in order to investigate whether in fact they actually follow comparable cognitive trajectories as those suggested by the model.

Finally, viewers' emotional affect(s) and cultural assumptions/presuppositions (which can be conceptualized as affective or cultural schemas), play a significant role in their comprehension of film characters, as well as in their character impression formation process. The impact of such schemas on viewers' comprehension is especially relevant when they are discussed in relation to foreign language films which

are not as widely-watched as Hollywood films. For example, like the range of different languages in which foreign-language films are shot, their socio-cultural aspects are also likely to be unfamiliar to a wide range of viewers, who hail from different socioeconomic backgrounds, cultures and have different mother tongues. Such viewers are likely to hold very divergent sociocultural schemas about the events and characters presented in foreign films, and such contrasts may plausibly cause schematic disruptions at different levels. Thus, the role of viewer's affective and cultural schemas and how they might affect film comprehension and/or character impression formation are two important themes which should be considered in future research. One additional note, concerning foreign language films is that they are usually watched and comprehended via subtitles – unless the viewer understands the language used, and, the linguistic and spatiotemporal constraints of foreign-film subtitles may affect subtitle-reading viewers' comprehension and character impression formation. However, such a claim calls for future studies to examine to examine the extent to which such linguistic considerations (i.e. condensation issues of subtitles, or viewer's difficulty in following them), may affect comprehension and character construal. It should be noted that the films analyzed in this current project were all foreign language films (French, Swedish and Persian) which, which a model viewer would watch using subtitles. However, the role of subtitles on meaning-making or character construal falls beyond the scope of the current project: this area would need to be investigated by another which specifically targets the influence of viewer's subtitle comprehension in character impression formation.

Thus, in light of the above-mentioned limitations and concerns, it may be useful to address some of the following questions in future research into the schema-based cognitive processes involved in film viewers' character construal:

- How other film-related schemas, such as *auteur* schema and star schema(s) may affect viewers' film comprehension and particularly character impression formation.
- How viewers' sociocultural schema and affective schema may affect the impressions they form about characters.

Finally, with respect to these two areas (i.e. considering all the cognitive, semiotic and linguistic variables involved in viewer's character construal) they also fall beyond the scope of the current project.

Appendix

Appendix 1: Art film, *auteur* film

Art film, as Cook (1999:106-110) points out, can be conceptualized as an institution in which certain films are assigned a position within general film culture and defined in terms of a particular mode of theme, narrative structure, characters, stylistic conventions, audience and consumption. Art film is typically defined as possessing formal qualities which mark them apart from mainstream Hollywood films. Wilinsky (2001) asserts that art film typically uses lesser-known film actors (or even amateur actors) and modest sets to make films that focus much more on developing ideas or exploring new narrative techniques or film-making conventions. Art film's emphasis is on the authorial expressiveness of the director and the representation of the thoughts and dreams of characters, rather than events through complex clear-cut narrative. Whereas stylistic devices and narrative motifs may differ among directors, the overall function of style and narrative remain remarkably constant in the art cinema as a whole.

In his extensive analysis of the formal features of the art film, Bordwell (1985:206-213) views art film conventions as diametrically opposed to classical Hollywood cinema whose narrative rooted in the popular literature. In the canonical narrative structure of classic films, compositional motivation is achieved through cause and effect. Art film narration, however, takes its thematic and narrative cues from literary modernism, tends to deal with real contemporary problems such as 'alienation' and 'lack of communication' and highlights the indeterminacy of personal psychology and the unknowability of the world's laws (Bordwell, 1985:206). In terms of theme and subject matters, like modern literature, the art film has an open-ended approach to narrative causality and displays a greater tolerance of narrative gaps. Concerning art film's tendency towards narrative breach, Cook (1999:109) asserts '[in art films] questions remain unanswered, ends are left loose and situations unresolved'. The art film is, therefore, non-classical in that it creates permanent narrational gaps and indefiniteness and thus calls attention to the process of story construction. As opposed to classical film whose narrative structure tends to move towards certainty through

following the canonical narrative structure, the art film moves on the blade of relateness and uncertainty.

Art film narratives involve a limited number of events; it is more interested in, what Bordwell (1985) calls, 'boundary situation' narratives or 'the slice of life chronicle' (p. 208), in which a(n) (inter)personal situations of character(s) can be explored. Example of such narratives is Erik Rohmer's *A Tale of Springtime* (1990), which is a segment of the life of two couples in unsatisfactory relationships, in which the daughter of one of them ineptly tries to improve the situation through some matchmaking. The boundary situation provides a format for 'psychological realism' (Bordwell, 1985:208), in which the characters are permitted to reveal themselves. In fact, it is through practising boundary situations that characters and their mental lives are dramatized in much more detail than in classical narrative, whose reliance is more on plot and events. Accordingly, the art film's narrative often revolves around characters who are undergoing some form of mental-life crisis and this gives the films their peculiar 'interior quality' (ibid.). The character's mental life is not expressed through dialogue alone. To convey such internal states, the art film resorts to the sophisticated co-deployment of verbal and visual cinematic signifiers, such as *mise-en-scène*, cinematography, soundtrack and editing. Art film exploits a specific arrangement of *mise-en-scène* for characters' mental representation. To do so, as Bordwell (1985) points out, art cinema has developed a range of *mise-en-scène* cues for expressing characters' mood, such as 'static postures, covert glances, smiles that fade, aimless walks, emotion-filled landscapes, and associated objects' (p. 208).

The non-conventional use of cinematic devices which is facilitated by means of highly elaborated cinematography, e.g. 'optical point of view shots, modulations of light, sound, and color, freeze-frames, slow motions and other cinematic devices implies a 'tacit subjectivity' (Cook, 1999:107). This subjectivity is not restricted to character presentation; it also shapes the characters' surroundings. In other words, the settings are constructed as the projection of the characters' mental life (see Chapter 1). The filmmaker's drive towards such subjectivity indicates the idea of a creative artist as the source of meaning in art cinema and so the art film is intended to be read as the work of an 'expressive individual' or *auteur* (Cook, 1999:237). Through the distinctive stylistic approach to narrative and cinematic aspects, the filmmaker practices absolute control over the composition of the film as a whole text.

The prominent position of *auteur* can be established in the narrative as the art film may present a ‘narrational commentary’ (Bordwell, 1985), that is, the points in which the narrational act interrupts the transmission of story information and highlights the role of the author (p. 209). Godard’s voice-over in his films such as *Two or Three Things I Know About Her* (1967) is a good example of the *auteur*’s overt annotation. The *auteur*’s narration commentary can also be expressed through using expressive stylistic devices such as ‘an unusual camera angle, stressed bit of cutting, a striking camera movement, an unrealistic shift in lighting or setting, a disjunction on the soundtrack’ (Bordwell, 1985:209), as well as other unconventional narrative disruptions.

Appendix 2: The cinema of Michael Haneke

Haneke, alongside filmmakers such as Lars von Trier, Bela Tarr, the Dardenne brothers, Gaspar Noe, and Bruno Dumont, is one of a new generation of authors currently leading European cinema. The numerous awards and critical acclaims garnered by *The Piano Teacher* (2001), *Hidden* (2005), *The White Ribbon* (2009) and more recently, *Amour* (2012), have positioned his status as one of the most contentious and radical filmmakers. His engagement with literature and philosophy and his movement from the theatre to the moving image (televisual and cinematic) describe the familiar profile of a distinctly European school of *auteur*.

Taking its thematic and narrative cues from literary modernism, art film attempts to represent real problems in real locations, using ‘psychologically complex characters to validate the drive towards verisimilitude in which social, emotional and sexual problems are reflected in individual characters’ (Cook, 1999:236-237). The examination of Haneke’s works reveals his connection to the modernist art film tradition and references to the *auteur* modernist filmmakers abound in his works. Wheatley (2009) asserts that Haneke’s films, thematically and stylistically, bear many hallmarks of modernist filmmakers:

Haneke’s films recall the utopianism of John Cassavetes (*Variation*), the spirituality of Bresson (*The Seventh Continent*) and Tarkovsky (*Time of the Wolf*) the visual metaphors of Antonioni, the child who pretends to be lame/blind in *Red Desert* (1964) and *The Seventh Continent* (1989); the

destruction of material objects at the climaxes of *Zabriskie Point* (1970) and *The Seventh Continent* (p. 22).

Haneke's affiliation to the tradition of art cinema and modernist filmmaking can be seen in the formal, stylistic, narrative and thematic aspects of his films. Such characteristics which have grown out of his modernist affiliation are reflected in his films: the withholding of narrative information (e.g. in *Hidden* where we never know the sender of the videotapes), narrative fragmentation (e.g. the episodic narrative of *Seventh Continent* (1989), *71 Fragments of a Chronology of Chance* (1994), *Code Unknown* (2000), in which the storylines intersect through the film, and the foregrounding of the medium as throughout his films, the cinematic medium and the process of watching are foregrounded. For instance, the flickering television and its constant droning sound is dominantly present in the opening scene of *The Piano Teacher* (2001), and its open-ending with a long shot of Erika (Isabelle Huppert) staggering out of the Vienna Conservatory having just stabbed a kitchen knife into her breast: we are not informed of what will happen to Erika. Similarly, the loose ending of *Funny Games* (1997), or what Rhodes (2010:88) calls, the 'ending-and-beginning-again' leaves the viewer with two murdering, tennis-clothes clad teenagers begging breakfast from a family who we know will be their next victims although we are never shown what will happen to the teenagers in the end. Rhodes (2010:87-102) believes in Haneke's obvious collaboration with the cinema of *neorealism*, particularly in his use of long-take cinematography, which is intended to reevaluate the ethical and epistemological imperatives at work. The long-take of Anna in *Code Unknown* (2000) doing ironing in her living room, while her attention is divided between the precision of her ironing and the television is one of the examples of 'neorealist gambit (a long take of domestic drudgery)' (Rhodes, 2010:88).

In terms of thematic subjects, ethical concerns are placed at the centre of Haneke's works. Each of his feature films presents an ethical problem within its narrative. Voyeurism, sadism, masochism, suicide, conspiracy, rape and identity are centrally present in most of Haneke's films; beginning with his first feature film, *The Seventh Continent* (1989), moving through *Benny's Video* (1992), *71 Fragments* (1994), *The Castle* (1997), *Funny Games* (2008), *Time of the Wolf* (2003), as well as *Hidden* (2005). Such themes are the centre of attention in *The Piano Teacher* (2001), a virtual case study of such emotional issues. Such recurring themes also demonstrate an underlying concern with questions of guilt and responsibility. This concern, as Wheatley

(2009:4) points out, takes place on both the ‘diegetic level’, as characters struggle with and against their responsibility for past and present actions, and the ‘extra-diegetic level’, as the main focus of Haneke’s films is on viewers’ moral reflexivity and their responsibility for their own involvement with the film. Haneke’s films refuse to give clear answers to the problems they pose, both within the narrative and in relation to how viewers perceive them. Instead, they encourage ‘an individual engagement’ (Wheatley, 2009:9) in a sense that Haneke’s project of moral spectatorship relies precisely on each viewer having a different relationship to the film, and so creates a cinematic form to which their responses are personal and subjective. All such stylistic and thematic choices conspire to provide a clarifying distance from the conventional narrative and cinematic styles of Hollywood cinema which transform Haneke’s film viewer from a ‘simple consumer’ to an ‘active evaluator’ (Wheatley, 2009:23).

Appendix 3: *The Piano Teacher* (2001): Synopsis

Based on a novel by Elfriede Jenlinek, *The Piano Teacher* (1983) film narrates the story of middle-aged piano professor Erika Kohut (Isabelle Huppert), a Schubert scholar at Vienna Conservatory. She lives with her elderly mother (Annie Girardot) in a bourgeois flat. Erika discovers she has attracted the attention of Walter (Benoît Magimel) a young engineering student and also a talented pianist who fell in love with her during a piano rehearsal party at his aunt’s house. At first, Erika refuses to acknowledge Walter’s romantic intentions. However, at one point, she becomes extremely jealous of one of her students’ (Anna Schober) contact with Walter in a piano rehearsal. In reaction to this, Erika hides shards of glass inside the student’s right jacket pocket which damages her right hand and destroys her prospects. In their first encounter in the women’s restroom, she approaches Walter in a rough sexual fashion and refuses to have a sexual relationship with him until he is willing to let her control the relationship via a written list of sadomasochistic rituals. Walter, shocked and disgusted by Erika’s demands, rejects her emotionally and rapes her. At the open-end of the film in the concert hall, she meets Walter with Anna, her piano student whose hand she damaged. She leaves the foyer and stabs herself in the street.

Appendix 4: *Autumn Sonata* (1978): Synopsis

Charlotte (Ingrid Bergman), a fairly successful concert pianist, has just lost Leonardo, the man with whom she had been living for many years. His death shakes her, and seemingly leaves her in a state of loneliness and bewilderment. She arrives at the vicarage where her daughter, Eva (Liv Ullmann), lives with her clergyman husband, Viktor. At first, the mood is one of rejoicing, but the visit is irrevocably darkened when Eva discloses that Helena, the younger sister (Lena Nyman), who has an advanced case of multiple sclerosis, is living in the house rather than in the institution where she had been placed by their mother. Charlotte's guilt and memories grow, and she starts feeling uneasy at her mother's company. During the night, the mother is awakened by a nightmare of being stroked by a woman's hand. Eva comes to comfort her, and, after a few nightcaps, admits that in fact, she has a deep hatred for her, the hatred of having been ignored and neglected all her life. The story pours out that the mother preferred the piano to her daughters and had been away constantly except for the years when she gave it up, stayed home and tried to make up for all the previous years of neglect. Charlotte's decision was based on the fact that her colleague/friend had commented very negatively on her performance and suggested she lead a respectful family life instead. Charlotte is astonished to hear Eva's story, for she had until then denied her neglect and irresponsibility. Eva levels one accusation after another at her mother. The emotional impact of their talk touches her, and she admits some of her guilt. Charlotte also confesses that she too has had to resort to something – music – outside her family life in order to express her emotions. Eva also blames her mother for the deterioration in Helena's condition. This is all too much for the mother, and she leaves abruptly. Eva writes one final letter to her mother, begging forgiveness for her outburst. First Victor reads it to the camera and then Eva finishes reading it, with a delicate note of hope and affirmation while Charlotte's face appears in extreme close up.

Appendix 5: The cinema of Abbas Kiarostami

Kiarostami has long practised a 'micro' mode of cinema in resistance to the Hollywood model and its imitators (Munt, 2006). A series of trademarks are evident in his films, for instance, *Ten* (2002), *Close-up* (1990), *Five* (2003), and are reflective of a

small-scale approach to feature filmmaking, including the use of non-professional actors and experiments with fiction/documentary hybrids. In addition to practising minimal filmmaking, there are a number of shared stylistic and thematic traits evident within Kiarostami's films and that of neorealists of the later 1940s and 1950s (Shiel, 2006). Having been established after the Second World War in Italy, neorealist cinema is recognized by its sensitivity to the beauty of the everyday, representing daily life eschewing studio space, filming on location with untrained, non-professional or new actors, the avoidance of location change, using natural lighting, avoiding using non-diegetic sounds (although most films had to be dubbed due to the poor quality of the recorded sounds),¹ the spontaneous, and the unspectacular desire to capture the rhythm of lived experience (Shiel, 2006: 1-2). Similarly, such characteristics can evidently be observed in Kiarostami's films: for instance, the episodes of *Ten* all take place in – and are filmed in – a car, using natural daylight and nightlight, with a cast of non-actors. In *10 on Ten* (2004), the director refers to his constant use of non-actors in his films and explains that his cast do not act, they are playing their own real-life roles:

These individuals [the non-actors] are often special and interesting enough people with a bulk of experiences which help them to create a more tangible, realistic refined character. I must stress that we choose these non-actors because of the strong resemblance to the characters we have imagined in the first place. As they are non-actors, it's unlikely, if not impossible, that they could successfully perform as another character; in other words, they play very well in one role and that is as themselves (Kiarostami, 2004).

Having emphasized Kiarostami's affinity to neorealist filmmaking tradition, it is also necessary to explore his status as an *auteur*. As discussed in Chapter 1, the most salient and defining aspect of authorship in cinema is the discernment of a director's distinctive and unique creative vision. If authorship is necessarily defined as the development and adoption of a distinctive directorial signature, then Kiarostami's close relationship with neorealist filmmaking principles may problematize his status as an *auteur*. Buckle (2011:25) argues that Kiarostami's admiration for neorealism is indeed prevalent but he adapts and evolves the core ideas and techniques and reshapes the stylistic choices in a way most fitting to explore socio-cultural issues in Iranian society. In other words, he continues to develop the relationship between neorealist style and

¹ Dubbing poses the problem of 'anti-realist' effect to the film; however, the loss of realism due to dubbing was compensated for by the distinctive use of mobility and expanded field of view which relatively lightweight silent film cameras afforded the cinematographer (Shiel, 2006:12). Kiarostami also uses the DV to similar effect.

contemporary factors of a particular nation which imposes censorship and code of modesty onto the films which boldly affects the process of representation (Mottahedeh, 2008). Hence, as an Iranian filmmaker, Kiarostami has adopted and adapted the neorealism stylistic and thematic principles and created a novel kind of neorealism; what Rapfogel (2001) calls *post-modern neorealism* or *neo-realism ad absurdio*, in which ‘the stories which seem to have been plucked from reality have been replaced by stories which truly have been; the actors have become not only non-professionals, “real” people, but *the* “real” people, the actual protagonists of the actual stories’ (ibid, 2001). *Close-up* and *Ten* are the apt examples of such post-modern neorealism in which non-professional actors essentially play themselves within an imposed fictional framework. Mania Akbari (Mania), in her real life, is a painter with no acting experience, and also the divorced mother of her son (Amin) whom we see on the screen. In *Ten*, she and her ten-year-old son play their own roles with all the real challenges they deal with in their real lives (Kiarostami, 2004).

While neorealism tries to cut through dramatic conventions to put us more directly in touch with experience, to make us forget that we were being told a story, Kiarostami’s films go an extra step to achieve something comparable: ‘[to] trick us into forgetting that we’re watching a movie that pretends to acknowledge the films’ own movieness, to drop all the cinematic pretenses’ (Rapfogel, 2001). Following neorealism’s aspiration of a documentary-like quality, *Close-Up*, *Ten* and *Five* are considered the most neorealist films not content to appear factual (ibid.) Such hybridity of narrative and documentary constitutes a specific form of narrative and screenplay in which the prototypical narrative and screenplay conventions are playfully exercised. Kiarostami’s cinema is generated from an idiosyncratic approach to screenwriting, in a form he refers to as the ‘open screenplay’ (Kiarostami, 2004). In *Ten on Ten*, Kiarostami introduces the open screenplay, which, as its name implies, is an open-ended scriptwriting form, whose salient features are the absence of written dialogue and the fact that is not distributed but remains for ‘Kiarostami’s eyes only’ (Hyayes, 2002, cited in Munt, 2006). In other words, Kiarostami seems to be denying us the story, teasingly withholding it, but perhaps he is simply telling a different story, one we’re not attuned to, one we’re not expecting to be told.

In terms of stylistic features, a technique which may suggest Kiarostami’s authorship is his non-conventional use of camera. Kiarostami allows the camera to *wander* around, disassociating itself from the characters’ conversations (Gaudreault,

1987). In turn, Kiarostami plays with camera angles and framings as a means of eschewing or counterpointing dominant forms of film technique and narrative. Such camera movement, which is not motivated by a need to characters' filtration, creates an 'averted gaze' (Mottahede, 2008) with characters placed at precise points, out of shot as the camera wanders and leaves the audience aware that the character is there without seeing them 'even if he's only sensed, felt, or heard' (Saeed-Vafa and Rosenbaum, 2003:58). Such use of averted gaze is repeatedly used at different points in *Ten* – significantly in the opening sequence of the film – where we only hear the main character's voice without seeing her for around 16 minutes: we only see her son and the streets of Tehran in the background of the car she is driving. Such wandering or 'monstrative' camera (Gaudreault, 1987) provides traces of enunciatory practice, a point of view from which we can assign film authorship, for when we witness monstrative camera, we witness cinematic narrative discourse at the enunciatory level that reveals traces of authorial activity (Johnson, 1993:49). In fact, such subjective camera movement can be taken into account as Kiarostami's individual expression or authorial cue.

Appendix 6: *Ten*: The description of Mania and Amin episodes

Episode 10

Amin, a ten year old boy climbs into the car to be driven to the swimming pool by Mania. He complains that she is late. An argument develops in which he shouts his anger at Mania for having divorced his father and his hatred for his new stepfather. Through his words, we are informed that he has already decided to leave Mania and live with his father. He accuses Mania of selfishness, while she tries to explain her actions and make him calm down. Amin's outburst continues, however, as soon as they get closer to the swimming pool, he storms out of the car and leaves his mother, whom weary by the exchange, is trying to park. Here, we see Mania for the first time, about 15 minutes into the film.

Episode 5

Mania collects Amin from his father to take him to his grandma's, but Amin, moody and a bit feverish soon starts arguing about the route she takes. As they discuss

which cartoons he likes, he tells Mania that his dad (with whom he now lives) watches ‘sexy’ programs on television late at night, which makes her deeply anxious as she thinks his father can not be a good role model for him.

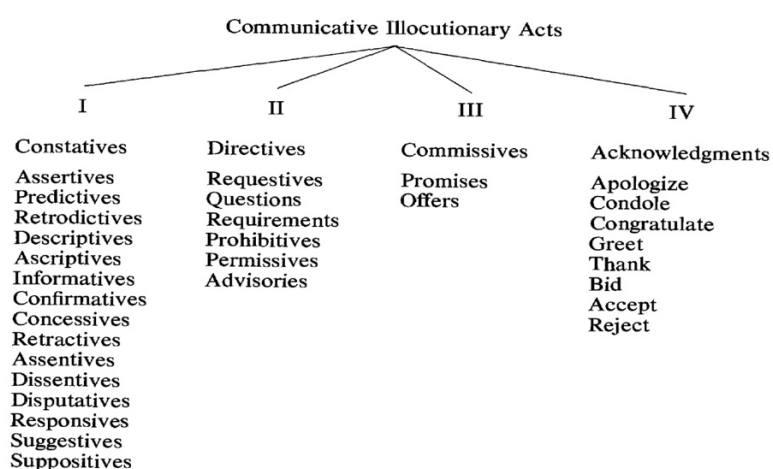
Episode 3

Amin, in a slightly better mood than before, demands to be driven to his grandma’s, and Mania jokes with him about getting his father to marry someone who has a daughter suitable for himself; this leads to an initially humorous discussion of who a good wife is; evidently not someone like Mania, given the fact that Amin again starts complaining that she always prioritized her needs over those of him and his father. In this episode, Mania seems more relived as through her discussion with other people with the similar experience of being left, she thinks that she has to let Amin go, as he mentally and physically does not belong to him.

Episode 1

Mania collects Amin from his father. When he immediately announces that he wants to be taken to his grandma’s, she simply says ‘all right’, and drives off. The image fades to black and the closing credits roll, as a piano plays Howard Blakes ‘Walking in the Air’.

Appendix 7: Classification of communicative illocutionary acts (Harnish and Bach, 1979)



Classification of communicative illocutionary acts (Harnish and Bach, 1979)

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